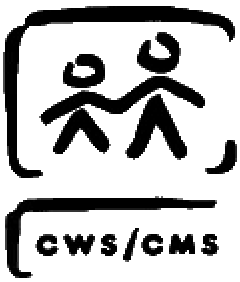
California Department of Social Services

Expanded Adoption System of the Child Welfare Services/Case Management System (Expanded Adoptions System)

Feasibility Study Report

December 15, 2000



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1 EXECUTIVE PROJECT APPROVAL TRANSMITTAL

Information Technology Project Request

Feasibility Study Report

Executive Approval Transmittal

Department Name
California Department of Social Services, Children and Family Services Division
Project Title (maximum of 75 characters)
Expanded Adoption System – Child Welfare Services/Case Management System

Project Acronym	**Department Priority**	**Agency Priority**
Expanded Adoptions System	**1**	**1**

APPROVAL SIGNATURES

CDSS is submitting the attached Feasibility Study Report (FSR) in support of our request for the DOIT's approval to undertake this project.

I certify that the FSR was prepared in accordance with State Administrative Manual Sections 4920-4930.1 and that the proposed project is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Feasibility Study Report.

Deputy Director, Information Systems Division		**Date Signed**
Printed name:	**Carlos Ramos**	
Budget Officer		**Date Signed**
Printed name:	**Dave Kupper**	
Deputy Director		**Date Signed**
Printed name:	**Sylvia Pizzini**	
Department Director		**Date Signed**
Printed name:	**Rita Saenz**	
Agency Secretary		**Date Signed**
Printed name:	**Grantland Johnson**	

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

2 IT PROJECT SUMMARY PACKAGE

1.	**Electronic Submittal Date**	

Project #	
Date Rec'd	
Doc. Type	

		PFSR	FSR	PCR	SPR	PSP	FSR/ER
2.	**Type of Document**		X				
	Document ID #						

			Estimated Project Dates	
3.	**Project Title**	**Expanded Adoption System – Child Welfare Services/Case Management System**	**Start**	**End**
	Project Acronym	**Expanded Adoptions System (EAS)**	**07/01/01**	**03/31/05**

			Forced Rank Project Priority
4.	**Submitting Department**	**CDSS-Children & Family Services Division**	**1**
5.	**Reporting Agency**		**1**

6. Project Objective (brief description, 400 characters]

This project implements the Federal and State directives for CDSS to maximize positive outcomes for children. These improvements will:

- Reduce the case worker effort necessary to place children with adoptive families,
- Ensure that the data meets CDSS's accuracy standards,
- Improving Adoption and Foster Care Analysis and Reporting System (AFCARS) compliance
- Allow for parallel processing of children through the child welfare services and adoptions programs.

8.	**Project Phasing**	**Budget**
	TOTAL PROJECT BUDGET	

7. Proposed Solution (brief description, 400 characters]

The proposed solution is to develop additional functionality within the current CWS/CMS system to improve Adoptions operations in California. The additional functionality was selected to improve outcomes for children and families by allowing improved case management, parallel processing of children through the Child Welfare system and the Adoptions system, and increase CWS/CMS usage statewide to establish AFCARS compliance.

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION B: PROJECT CONTACTS

Project #	
Date Rec'd	
Doc. Type	

Executive Contacts								
	First Name	**Last Name**	**Area Code**	**Phone #**	**Ext.**	**Area Code**	**Fax #**	**E-mail**
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CIO	Carlos	Ramos	916	654-1039		916	654-8690	Carlos.ramos@dss.ca.gov
Project Sponsor	Sylvia P.	Pizzini	916	657-2614		916	657-2049	Sylvia.Pizzini@dss.ca.gov

Direct Contacts								
	First Name	**Last Name**	**Area Code**	**Phone #**	**Ext.**	**Area Code**	**Fax #**	**E-mail**
Doc. prepared by	Karen	Gunderson	916	322-4227		916	445-9125	Karen.Gunderson@dss.ca.gov
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Project Director	Cris	Jensen	916	263-1103		916	1142	cjensen@hwdc.state.ca.us

INFORMATION TECHNOLOGY PROJECT SUMMARY
SECTION C: PROJECT RELEVANCE TO STATE AND/OR DEPARTMENTAL PLANS

1.	**What is the date of your current Operational Recovery Plan (ORP)?**	**Date**	01/99	**Project #**	
2.	**What is the date of your current Agency Information Management Strategy (AIMS)?**	**Date**	11/99	**Date Rec'd**	
3.	**For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.**	**Doc.**	AIMS	**Doc. Type**	
		Page #	41		

		Yes	**No**
4.	**Is the project reportable to control agencies? (SIMM Volume 1, Policy 5.0)**	X	

If YES, CHECK all that apply:

X	**a)**	**The estimated total development and acquisition cost exceeds the departmental cost threshold.[1]**
	b)	**A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.[1]**
X	**c)**	**The project involves a budget action.[1]**
	d)	**Acquisition of any microcomputer commodities and the agency does not have an approved Workgroup Computing Policy (WCP).**
	e)	**Electronic access to private information concerning individuals or entities by entities or individuals other than the entity responsible for data ownership or other entities authorized by law.**
	f)	**Installation or expansion of wide area network data communication facilities or services other than those acquired through contracts administered by the Department of General Services, or a State consolidated data center as defined in SAM Section 4982.**
	g)	**Development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center.**
	h)	**Development and/or purchase of systems to support activities as defined by the DOIT's Enterprise Systems Report.[2]**
	i)	**Acquisition or upgrade of a multi-user central processing unit, except for previously approved projects as defined under SAM 4819.2, or servers being used only for departmental Office Automation functions**

[1] **The DOIT will forward a copy of the FSR meeting these reporting criteria to the Department of Finance (DOF).**

[2] **The DOIT will forward a copy of the FSR to the DOF's (CALSTARS Unit) if it is determined the business case or proposed solution is related to financial accounting systems.**

Project #	
Date Rec'd	
Doc. Type	

MAJOR MILESTONES		
	Description	**Planned Delivery Date Relative to Contract Amendment**
1.	Planning, Architecture, Requirements Refinement	+12 months
2.	Preliminary Design Review	+14 months
3.	Critical Design Review	+15.5 months
4.	Code Complete / Test Readiness Review	+20 months
5.	Test Completion Review	+24 months
6.	Final Acceptance	+24 months
7.	Project Closeout	+27 months

KEY DELIVERABLES		
	Description	**Planned Delivery Date Relative to Contract Amendment**
1.	Project Management Plans	+13 month
2.	Software Requirements Specification	+14 months
3.	System and Acceptance Test Plans	+15 months
4.	System Design Documents	+16 months
5.	System Test Description	+20 months
6.	Training Plan	+20 months
7.	System User Manual	+20 months
8.	System Test Summary Report	+24months
9.	System Acceptance Test Summary Report	+24 months
10.	Post Implementation Evaluation Report	+34 months

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION E: BUDGET INFORMATION

Project #	
Date Rec'd	
Doc. Type	

Budget Augmentation Required?		
No		
Yes	X	**If YES, indicate fiscal year(s) and associated amount:**

FY 01/02	**FY 02/03**	**FY 03/04**	**FY 04/05**	**FY 05/06**
$563,000	$5,816,200	$1,408,000	-$5,165,100	-$1,254,200

PROJECT COSTS

1.	**Fiscal Year**	**Data for this section will be derived from the EAW**	**TOTAL**
2.	**One-Time Cost**		
3.	**Continuing Costs**		
4.	**TOTAL PROJECT BUDGET**		

SOURCES OF FUNDING

		FY 01/02	**FY 02/03**	**FY 03/04**	**FY 04/05**	**FY 05/06**	
5.	**General Fund**	**$368,000**	$3,276,100	$3,973,188	$1,389,471	$761,196	**$**
6.	**Redirection**	**Data for REDIRECTION will be derived from the EAW**					**$**
7.	**Reimbursements**						**$**
8.	**Federal Funds**	**$368,000**	$3,276,100	$3,980,100	$1,397,550	$770,450	**$**
9.	**Special Funds**						**$**
10.	**Grant Funds**						**$**
11.	**Other Funds**			$6,912	$8,079	$9,254	**$**
12.	**NET PROJECT BUDGET**	**$**	**$**	**$**	**$**	**$**	**$**

PROJECT FINANCIAL BENEFITS

13.	**Cost Savings/ Avoidances**	**Data for this section will be derived from the EAW**
14.	**Revenue Increase**	
15.	**Net (Cost) or Benefit**	

Note: The totals in Item 4 and Item 12 must have the same cost estimate.

Project #	
Date Rec'd	
Doc. Type	

VENDOR FSR COST

Vendor Cost for FSR Development (previous year expenditure)	**$201,648**
Vendor Name	**Logicon**

VENDOR PROJECT BUDGET

1.	Fiscal Year	FY 01/02	FY 02/03	FY 03/04	FY 04/05	FY 05/06	TOTAL
2.	Primary Vendor Budget	$	2,829,700	3,382,000	$332,600[2]	$332,600[3]	$
3.	Independent Oversight Budget	$.0	$531,960	$665,280	$249,480	$0.0	$
4.	DOIT Oversight Budget						$
5.	TOTAL VENDOR BUDGET	$	$	$	$	$	$

----------(Applies to SPR only)----------

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

6.	Primary Vendor/Organization	N/A
7.	Contract Start Date	
8.	Contract End Date (projected)	
9.	Amount	$

[1] Increased cost for Maintenance and Operations vender costs for FY 03/04 due to this project, training costs are $195,821.
[2] Increased cost for Maintenance and Operations vender costs for FY 04/05 due to this project.
[3] Increased cost for Maintenance and Operations vender costs for FY 05/06 due to this project.

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail

Project #	
Date Rec'd	
Doc. Type	

RISK ASSESSMENT

	Risk Assessment Model (RAM)	Score	Rating
1.	Strategic Risk	1.50	
2.	Financial Risk	1.33	
3.	Project Management Risk	N/A	
4.	Technology Risk	N/A	
5.	Change Management & Operation Risk	N/A	
6.	OVERALL RISK SCORE		

7.	Date of current RAM	July 13, 2000

		Yes	No
8.	Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
The Risk Management Plan is included in Section 7 of the FSR and is consistent with the current and proposed maintenance and operations contract.

PROJECT PROFILE INFORMATION

1.	Implementation Approach:
	Purchase and Integrate
	In-house Development
X	Vendor Development

2.	Project Type:
X	Application Development
	Artificial Intelligence
	C.A. Dispatch
	C.A. Design
	C.A.S.E.
X	Client Server
X	Database
X	E-mail/Messaging
	EC/EDI
	EDI
	EFT
	Expert System
	Imaging
	G.I.S.
X	LAN
X	Mainframe
X	Office Automation
	Telecomm
X	WAN
	WEB Technology
	Other:

2.	Project Type:
3.	Business Program/Practice:
	Asset Management
X	Case Management
	Contract Management
	Document Tracking
	Financial
	Fingerprint
	General Accounting
	Human Resources
	Law Enforcement
	Law Enforcement/AFIS
	Licensing
	Procurement
	Reg and Titling
	Project Management
	Telecommunication
X	Workflow
X	Workload Management
	Other:

4.	Outsourced Components
X	Application Development
X	Contract Manager
X	Database Design
X	Facilities Manager
X	Hardware
X	Independent Oversight
X	Telecommunications
X	Project Manager

4.	Outsourced Components (continued)
X	Quality Assurance
X	Site Prep
X	Software Developer
X	Systems Analyst

4.	Outsourced Components (continued)
X	Systems Integrator
	Other:

5.	Operating System:
X	Windows 95 32-bit, OS2, MVS

6.	Hardware Platform:
X	Intel Based Client-Servers, Host ES 9000,Parallel, Mainframe, Netfinity, Intel PC's

7.	Database Engine:
	DB2

8.	Messaging Engine
X	MS Exchange, Client is Outlook, CICS

9.	WEB Server
	TCP/IP, SNA,

10.	Development Tools
x	Doc Tools

11.	Network Protocols
X	LLC2 Network Protocols

3 BUSINESS CASE

3.1 Business Program Background

The Child Welfare Services/Case Management System (CWS/CMS) is mandated by Chapter 1294, Statutes of 1989 (Senate Bill 370). This law requires the development of a statewide computer system to automate the functions of county child welfare offices. The CWS/CMS system automates many of the tasks that county workers had to perform routinely and often manually. CWS/CMS establishes a centralized statewide system that allows State adoption and county child welfare workers to share information on child abuse cases.

CWS/CMS was developed with federal Statewide Automated Child Welfare Information Systems (SACWIS) funding initially at 75% federal financial participation. The system is intended to meet the federal requirements for that funding. The first phase of the Adoption Subsystem contained very limited adoption functionality, which included the Adoption Foster Care Analysis Reporting System (AFCARS) data elements. This was accomplished at the time the CWS/CMS application rollout was completed in June 1998. This phase of the adoption system was intended to collect data and provide minimal support for the Adoption Assistance Program (AAP) and a few critical forms. The deficiency in adoption functionality has resulted in four major problems for the State:

1. ***The CWS/CMS application fails to meet the federal requirements of Section 45CFR1355.53 due primarily to lack of case management functionality for adoptions.*** Section 45CFR1355.53 states that the Statewide Automated Child Welfare Information System (SACWIS) "*…must provide for effective management, tracking and reporting by providing automated procedures and process to:*

   (1) Meet the Adoption and Foster Care reporting requirements through the collection, maintenance, integrity checking and electronic transmission of the data elements specified by the Adoption and Foster Care Analysis and Reporting System (AFCARS) requirements mandated under section 479(b) of the Act and Sec. 1355.40 of this part;

   (2) Provide, for electronic exchanges and referrals, as appropriate, with the following systems within the State, unless the State demonstrates that such interface or integration would not be practicable because of systems limitations or cost constraints:
   (i) Systems operated under title IV-A,
   (ii) National Child Abuse and Neglect Data Systems (NCANDS),
   (iii) Systems operated under title XIX, and
   (iv) Systems operated under title IV-D;

   (3) Collect and manage information necessary to facilitate the delivery of client services, the acceptance and referral of clients, client registration, and the evaluation of the need for services, including child welfare services under title

IV-B Subparts 1 and 2 family preservation and family support services, family reunification and permanent placement;
(4) Collect and manage information necessary to determine eligibility for:
(i) The foster care program,
(ii) The adoption assistance program, and
(iii) The independent living program;
(5) Support necessary case assessment activities;
(6) Monitor case plan development, payment authorization and issuance, review and management, including eligibility determinations and redeterminations;
(7) Ensure the confidentiality and security of the information and the system;
(8) The system must perform Quality Assurance functions to provide for the review of case files for accuracy, completeness and compliance with Federal requirements and State standards."

Related to these requirements, the current application does not meet them in the following ways:

- Collect and manage information necessary to facilitate the delivery of client services related to Title IV-B Subparts 1 and 2, which, as a result of the enactment of the federal Adoptions and Safe Families Act (ASFA), was amended to include adoptive families, and post-adoption services
- Support necessary case assessment activities for adoptions
- Ensure that statutory and regulatory needs for adoption confidentiality related to adoptive parents who are also foster parents when recording case contacts
- Perform Quality Assurance functions related to adoptions

In addition to the Code of Federal Regulations, specific requirements for adoptions case management in ACF-01SM-001 dated February 8, 1995 included: "that the automated system must …record and track information about adoptive placements and post-adoptive services, including subsidy benefits"; "Record contact with and acquisition of needed resources/services"; and "Generate reports and documents as needed." Documentation of the current application's deficiencies regarding adoptions include the following:

- In the SACWIS Review Guide Appendix B - OMB NO.: 00970-0159, the current application was found to be deficient in this area. Other than the entry of minimal information regarding subsidy benefits (i.e., AAP), the current application fails to provide any means to track post-adoption services.

- While the system does have capacity to record case contacts for child welfare workers, adoption staff are unable to utilize it. This is because adoption social workers are unable to shield their adoption contacts from non-adoptions staff per statutory and regulatory requirements.

- The SACWIS Review Guide Appendix B - OMB NO.: 0970-0159, finding states; "The system provides very limited support for adoption case management.

However, the State indicated that it is working on the adoption component of the system." In their requirements section, they have asked the State to "explain its plans and timeframe for developing and implementing complete adoption functionality."

- Although the system can transmit AFCARS data to the federal government, other types of statistical reporting necessary for adoptions does not yet exist in CWS/CMS. The system also does not yet have the requisite adoption program management reports.

- A final observation made by the SACWIS Review was the need for reports that meet the needs of the adoption staff. They found that the current reporting function does not meet county reporting requirements. Currently, adoptions staff can only generate six forms and those are used primarily for AAP.

2. ***The lack of case management functionality is a barrier to meeting the requirements of recent state and federal laws.***

   - The implementation of the federal Adoption and Safe Families Act (ASFA) and conforming state statute have created a significant heightened priority on adoptions by requiring that parental rights be terminated on every child residing in foster care more than one year unless there exists a compelling reason not to do so. California law further requires that this determination be based on an assessment by an adoption agency. Due to these laws, there is significant additional workload for adoptions, particularly in the area of child and applicant assessment, which is not supported by the existing application.

   - AB 1544 (Statutes of 1997, Chapter 793) mandates concurrent planning to move children to permanent homes more quickly. Concurrent planning is a child welfare case planning methodology used when children are removed from their parents' custody due to abuse or neglect and placed into foster care. During the time that efforts are being made to return the child home, a contingency plan is developed for the child's future in the event that reunification efforts are unsuccessful. Since this contingency plan is often adoption, this is further increasing the emphasis on adoption when children in foster care are unable to return home. The existing application does not provide support for concurrent services planning. This would allow workers to document the two service tracks that are required by law and regulation in CWS/CMS.

3. ***The lack of case management functionality compromises the State's adoption program data.*** This is the result of several factors:

   - There are no requirements and few incentives for an adoption caseworker to use the system. With the exception of AFCARS, there are no adoption case and program management reports on CWS/CMS.

- Insufficient use of the adoption component of CWS/CMS has required additional workload on the part of the California Department of Social Services (CDSS) to develop and report essential adoption data. Significant data processing by CDSS is required for California to meet the SACWIS data reporting requirements.

4. ***The existing adoption functionality is insufficient to meet the needs of a rapidly expanding statewide adoption program.***

- Over the last few years, changes in both state and federal laws have increased emphasis on adoption as a means to provide permanence for foster children who are unable to return to their parents. This new focus is moving more foster children to adoption than ever before. Through the California Adoption Initiative, the number of children placed for adoption has more than doubled (from 3,265 in Fiscal Year (FY) 1995/96 to 6,141 in FY 1998/99). Conservative projections for FY 1999/00, based on data for the first three quarters, estimate the number of adoptive placements for the year will exceed 7,000. In addition, the number of children freed for adoption has significantly increased as well. By the end of 1999, the annual number of children freed for adoption had increased by 116 percent.

- Historical data shows that less than 60% of children entering foster care in any given year will return to their parents within the first six years in foster care. With 113,000 children in care at the end of 1999, the task of providing children with permanent homes is substantial. Without permanent homes, children will remain in foster care until they emancipate at age 18.

- Given the expansion of the statewide adoption program, traditional quality assurance efforts are increasingly impractical. However, automated or online case reviews cannot be performed. The current CWS/CMS application is limited and cannot be used by the State to perform SACWIS required quality assurance functions on adoption cases. For instance, the CWS/CMS application cannot be used to determine if fundamental regulatory requirements have been met. The only current alternative is to review the physical case file, resulting in a significant investment in staff and travel costs.

In order to meet the adoption needs of increasing numbers of children, public adoption agencies will have to begin working with the children, their birth parents and potential adoptive parents shortly after the children enter foster care. These agencies will have to be able to use the CWS/CMS to manage their case activities and record required adoption information on behalf of the child. An example of this involves case contacts. Current adoption functionality allows the shielding of adoption data elements. However, case contact narratives with children and adoptive applicants cannot currently be recorded in a way that is protected by adoption privilege. The system as currently designed does not allow them to do so. The current process for recording required information for these families on the CWS/CMS application is does not support the current business needs and does not meet the federal SACWIS requirements.

A failure to design and implement an EAS, to correct the discrepancies listed in numbers 1 through 4 above, will result in substantial repayment penalties. In a letter dated September 30, 1997 from ACF, California requested a one-time development cost of $164,322,716. Of this amount, $147,458,781 was requested at the 75 percent SACWIS enhanced match rate. Therefore, if ACF pursues recouping their FFP, the potential loss for California may be $147,458,781.

3.2 Impact of Proposal

Expanding the adoption component of CWS/CMS will allow both the case management and program management report functions to be added to the system. This will provide the following:

- Increased incentive for adoption staff to more fully utilize the CWS/CMS application by automating routine case management functions and providing easier documentation of adoption case activities.
- Increased accuracy and timeliness of data on the child and adoptive families for program management and federal reporting.
- Increased compliance with State and federal requirements through the ability to perform quality assurance functions.
- Adoptive placements will be expedited as social workers will have greater ability to locate adoptive families who have the skills to care for a child's unique physical, psychological, or emotional needs. It will benefit the social worker by reducing the administrative effort needed to successfully place a child with an adoptive family. The social worker will now be able to focus more fully on meeting the needs of the child and adoptive family rather than ensuring administrative data collection.

Expansion of the existing CWS/CMS will enable the State to better serve the public, meet the federal SACWIS evaluators requirements, gain federal Adoptions Incentive monies and avoid AFCARS penalties.

3.3 Business Problem or Opportunity

The current system fails to support program because it lacks functionality in several critical areas. The current Adoption Subsystem of CWS/CMS records dates of basic case milestones, AFCARS data elements, and some minimal information needed for the Adoption Assistance Program (AAP). However, federal reviewers have determined that this minimal functionality does not meet their requirements. Unless the system design is enhanced to meet these federal requirements, the State may be required to repay the federal funds invested in the development and implementation of CWS/CMS.

Adoption social workers do not have the basic tools in CWS/CMS that are readily available to their Child Welfare Services counterparts. They cannot generate most basic documents or record confidential case contact information in a secure manner that meets State law. Workers also cannot yet effectively collect and manage information necessary to facilitate the adoptive placement of children. The result is often a delayed adoptive placement and more time spent by the child in foster care.

More time in foster care is costly, both emotionally to the child, who may lose altogether the opportunity to be adopted; and fiscally to the State because foster care ultimately costs more than adoption.

Failure to capture and report data on adoptive placements in a complete and timely manner may cause the State to incur an "opportunity cost" by missing federal Adoption Incentive monies. The federal ASFA contains provisions for incentive monies of either $4,000 or $6,000 per adoption to states that are able to exceed the prior year's number of adoptions.

By enhancing the adoption subsystem, the number of adoptions will be reported with greater accuracy and timeliness. These numbers could allow California to gain federal incentive money that would be used to provide much needed post-adoption services for children and their new adoptive families. In FY 2003-2004 the estimated incentive dollars are $4.2 million with an increased productivity of ten percent more adoption finalizations. This figure increases to an estimated $4.6 million in FY 2004-2005. After such a public initiative and substantial county effort, failure to capture these funds because of inaccurate reporting would have negative political ramifications both within California and for California nationally.

An expanded subsystem will provide the following benefits:

- It will meet the federal requirements for automated EAS and avoid federal penalties and repayment of system costs, and ensure continued federal funding.

- There will be substantial cost savings in moving children in the legal permanency provided by adoption. In addition to the aforementioned incentive monies, will be a yearly cost savings initially of $9,129 per year per child. These savings reflect the differences in the costs of providing services and administrative support and the costs of foster care grants (AFDC-FC) and adoption subsidy (Adoption Assistance Program a.k.a. A.A.P.) $3,312 of this amount is from administrative and services cost savings. $5,817 is from grant cost savings. Because of inter-program differences in sharing ratios between levels of government, these savings are not evenly distributed. Counties receive the largest portion of the savings--$4,070 per year. The federal government saves $3,671 and the state $1,389 per year. There are substantial costs associated with completing an adoption ($12,950) which are not fully recovered from foster care savings until the second year of the adoption. The typical foster child's adoption is completed when he or she is four and a half years old. If the child remains in foster care to age 18, the average cost of foster care, services, grants, and administration over this 13.5-year period would be $210,668. The average cost of adoption, including all services and grants would be $110, 376 with savings of $110,292 per child. Because of the differences in sharing ratios, the state recovers all of its cost in the sixth year.

- It will ensure the State, the Legislature and the Governor has the adoption data necessary to administer the statewide program in a cost-effective way and perform quality assurance functions.

- It will create an incentive for full utilization by social workers by improving the automated generation of forms and reports. Full utilization will also ensure better AFCARS data quality. Failure to meet federal AFCARS reporting requirement could risk additional penalties of $1.5 million per year.

- It will produce incentives for individual agencies to use the application by providing program management reports.

- It will support case assessment and matching activities necessary to facilitate an appropriate adoptive placement. This means that there is a much greater likelihood that the family with the right characteristics needed by a particular child will be found and that the placement will be successful.

3.4 Business Objectives

The primary objectives are summarized as follows:

- To ensure that all federal and State laws, regulations, policies and procedures are met; that incentives are received; and that penalties are avoided.

- To ensure the State has access to accurate data that will enable it to assess how and how much the statewide adoptions program is improving permanency outcomes for children in foster care.

- To improve overall service delivery in the adoptions program statewide.

The Expanded Adoptions System project will improve service delivery to children and families by revising the current adoptions system as identified in Table 3-1.

Table 3-1 identifies Primary Business Objectives and their corresponding Measurable Results. Also included are definitions of the Operational Areas affected by each objective.

Table 3-1 Business Objectives Matrix

Primary Business Objectives	Requirement of:	Operational Areas Affected	Measurable Objectives
Meet Federal laws and regulations	Federal government	All	Penalties avoided by the State Incentives received by the State
Meet State laws and regulations	State government	All	Penalties avoided by counties
Meet system requirements	CDSS and Counties	System operations	Meet existing CWS/CMS performance objectives

Primary Business Objectives	Requirement of:	Operational Areas Affected	Measurable Objectives
Improve statewide adoption program administration, including quality assurance	CDSS	CWS through Adoptions	Reduce number of counties reporting adoption data manually Increase number of children adopted Reduce number of placements before adoption is completed
Improve assessment for matching and placement of children and families to expedite permanency	SACWIS	CWS through Adoptions	Reduce length of time needed for applicant evaluation Reduce number of disrupted adoptive placements
Improve adoption caseworker efficiency	ASFA	Adoptions and CWS plus State agencies	Meet or exceed the federal mandates of projected adoptive finalizations Reduce number of tasks being completed manually Reduce length of time needed for applicant evaluation Increase annual number of children placed for adoption
Improve delivery of services for children and families	SACWIS	Adoption	Automated documentation of service delivery Program Management Reports to track case movement
Allow data sharing between CWS and Adoptions	SACWIS	All	Reduce data entry by using data already entered in the system
Maintain confidentially between adoptions and CWS cases to meet statutory and regulatory requirements.	SACWIS Family Code	All	Appropriate adoptive records and documents are shielded by adoption privilege
Capture federal Adoption Incentive funds	AFCARS ASFA	Adoptions	Increase accuracy of adoption data reported for AFCARS

3.5 Business Functional Requirements

An overview of the Functional Requirements are defined in detail in System Requirements, Appendix B. These requirements were carefully compared to and cross referenced with the elements used for the original cost analysis performed in 1999. These original elements are to be found in ORIGINAL REQUIREMENTS, also in Appendix B.

In order to meet the identified business objectives, adoption social workers need the ability to record, consistent with confidentiality requirements, adoption related data for children, adoptive applicants and birth parents in one place. The data must be retrievable and printable.

The current system has automated processes for only six forms. It does not allow the social worker to record confidential adoption case notes or attach external confidential documents. Since there are many more forms required for core adoption processes, the addition of these new forms and case functions will support and improve service delivery to adoptive children and families.

The recommendations set forth in Section 5.1, Proposed Solution, resulted from a thorough review of the adoptions process. Under the provisions of the CWS/CMS governance structure, this review was conducted by county and State adoption staff working closely together. The review effort produced workflow diagrams and definitions that formed the basis for the requirements included in Appendix B System Requirements.

The requirements were built from the Work Flow narrative and Business Functions matrix documents developed by the Adoptions Subgroup. The nine business areas were analyzed and requirements identified, reviewed and documented. Flexibility in the system requirements and design were emphasized so as to allow for statutory and regulatory changes that require design features that deviate from this document. The EAS is intended to automate the following business areas:

- Caseload Management for Adoptive Applicants
- Assessment of Children, Birth Parents and Adoptive Applicants
- Parental Rights Termination Activity
- Adoptive Placement Activities
- Adoptive Placement Supervision
- Adoptive Placement Finalization
- Post Placement Adoptive Services
- California Interagency Services
- Interstate Services

In addition, general “global” level system requirements were identified, that impacts the following areas:

- System Navigation
- Program Management Reporting
- Applicant Functionality

- Child/Adoptive Child Functionality
- Birth Parent Services
- Post Adoption Services
- Search Capabilities
- Court Report Activities
- Miscellaneous Functions

To complete the requirements, the Forms and Program Management Reports necessary to support the business area functionality above were also defined in Appendix B. Again, statutory and regulatory changes enacted prior to implementation may cause some changes in the list prepared for this analysis.

The development of the complete set of EAS requirements will result in an automated environment that will more fully support the adoptions business needs and objectives. To support effective use of the EAS, development and provision of training modules, similar to those used for the child welfare portion of CWS/CMS, will be required.

4 BASELINE ANALYSIS

4.1 Current Method

All current systems have limited Adoptions functionality.

Most case management and document management is done using manual methods. Some of the most basic functions such as case notes, attaching documents, and generation of most documents, cannot be done using the current automated systems. The recent SACWIS review was critical of this manual process.

Adoptions are recorded in the CWS/CMS as completed actions. The CWS/CMS does not support the case management process for adopting a child. It was intended to meet AFCARS requirements and provide some support for the AAP Program. It does record a minimal number of case milestones, statistical, and demographic data. Of approximately 85 forms used in the adoptions process, only six have been automated.

4.2 Technical Environment

County systems range from a single PC where a spreadsheet is maintained to a Metropolitan Area Network (MAN) with a multi-user database.

The CDSS's system resides on the existing CWS/CMS.

The following is a description of CWS/CMS.

There are four major subsystems in the technical architecture of CWS/CMS as shown in Figure 4-1.

- The CWS/CMS Workstations — These PCs host the custom-developed client application, office automation, communications, anti-virus, and system management software. Case workers and other staff take referrals, perform searches, develop reports, create documents and update information in the statewide case database from these workstations. Adoption social workers have workstations for use of the current limited Adoption subsystem.

- Local Area Network (LAN) Servers — These servers function in a variety of roles on the network including: domain controllers, print servers, mail servers, software distribution servers, application servers, back-up servers, and management of the transaction flow between the workstations and the host. A single server may perform only one or, in some cases, all functions — depending on the number of users at a site.

- Network components — Workstations are networked at the county level by county LANs and Wide Area Networks (WANs). These LANs and WANs may be either

dedicated (used only for CWS/CMS), or coexistent (shared with other county functions). The county networks connect to the host system via the Health and Human Service Agency Data Center (HHSDC) WAN. The CWS/CMS server-to-host communications are System Network Architecture (SNA) encapsulated over the HHSDC TCP/IP-routed WAN. IBM, HHSDC, and some counties also provide network management workstations and servers that support system operation. However, only IBM's "Networking Station" (NWS) system is considered a directly managed part of CWS/CMS.

- The CWS/CMS Host System — Hosted at IBM's data center in Boulder Colorado, the host is a dedicated mainframe providing transaction processing and database management for CWS/CMS. The database manager software and the Direct Access Storage Device (DASD) hardware located at the host facility maintain the entire statewide case database and the document database. The host data center component of the system also includes the software development environment, which covers both host and workstation-based software.

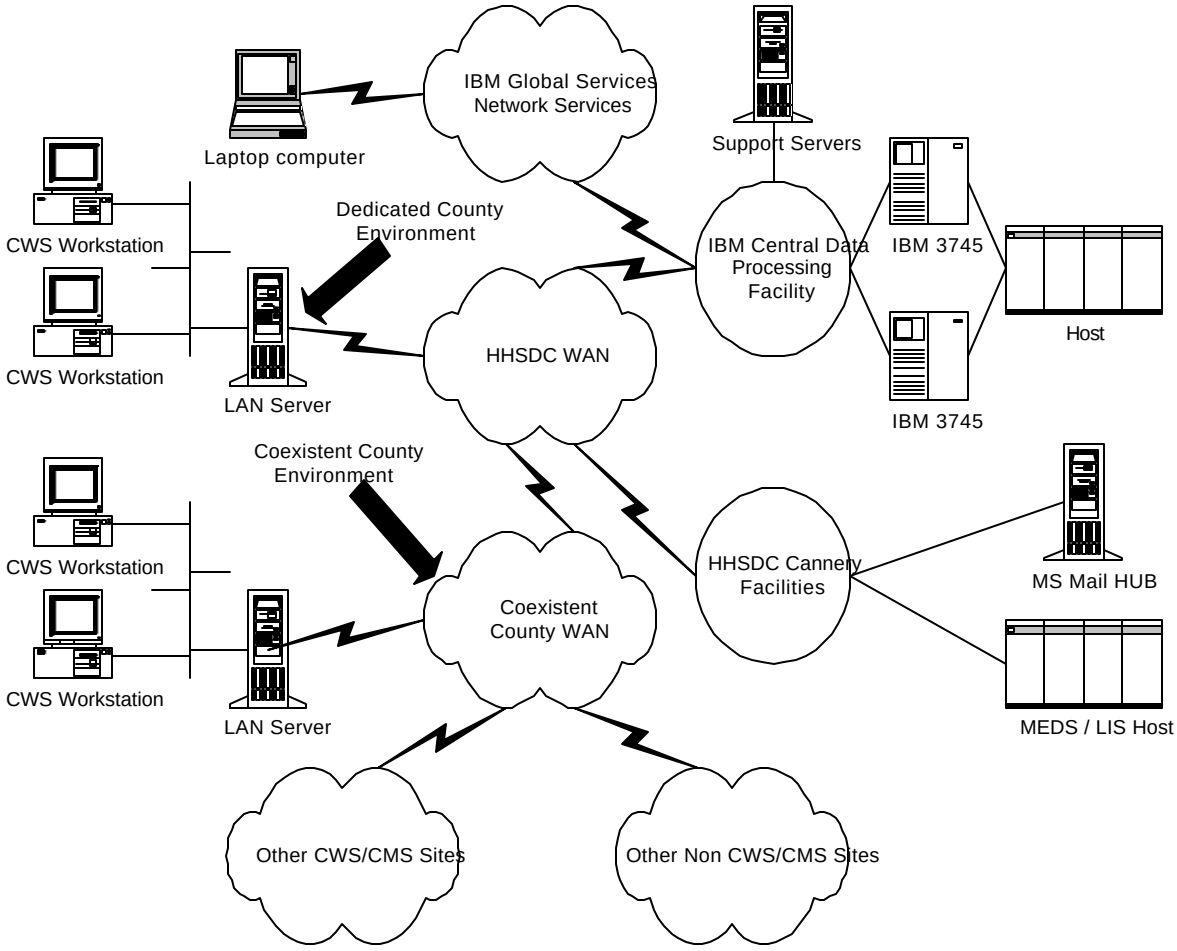


Figure 4-1 – Existing System Overview

4.2.1 Existing Infrastructure

County adoption services workers will have received training for the local system they currently use for Adoptions, whether it is manual or automated. All of State personnel and some of the county personnel have some familiarity and/or training with the CWS/CMS.

CWS/CMS provides a central, statewide database with the AFCARS required data elements already imbedded, a custom application, and a technical infrastructure consisting of the host, networks, servers and workstations necessary to support the application, database, and the State's current user base of over 16,000 users. At this time, we are currently reviewing the existing user base to determine whether or not, it will meet the anticipated needs of all relevant state and county workers. Therefore, this FSR assumes no expansion in the current user base due to the EAS, at this time. We plan to refine this assumption in the SPR.

The State maintains a project staff responsible for monitoring the primary vendor, IBM Global Services, within the Health and Human Services Data Center's System Integration Division (HHSDC SID). The State staff supervises the operation, maintenance and evolution of the system. The leadership, advocacy and direction for automated support of the program is provided by an Oversight Committee consisting of representatives from the CDSS, the California Welfare Director's Association and the Health and Human Services Data Center.

Strategic planning of changes to the CWS/CMS technical infrastructure is provided by HHSDC project staff in conjunction with the project's maintenance and operations (M&O) vendor (currently IBM Global Services) and the Technical Advisory Group of the CWS/CMS Governance Structure

5 PROPOSED SOLUTION

The proposed solution is the EAS, which builds on the existing CWS/CMS system. Specific requirements are detailed in Appendix B, System Requirements.

Four alternatives were identified and considered. This section will begin by discussing the Proposed Solution (the alternative recommended) and will then cover the other alternatives considered. The sections on the alternatives will discuss why each was accepted or rejected.

5.1 Solution Description

The following subsections identify the components of the proposed solution, and the supporting activities.

5.1.1 Hardware/Software/Technical Platform

The EAS will operate in the CWS/CMS technical infrastructure, as discussed in detail in Section 4. The application software will be a component of the CWS/CMS client/server software developed and managed by the M&O vendor.

5.1.2 Development Approach

The CDSS will expand its Interagency Agreement with HHSDC for project management and contract management services for the EAS. The HHSDC will contract for the development, integration, implementation and M&O efforts. The software will be a custom development and will be produced by the CWS/CMS M&O vendor. The CWS/CMS M&O vendor will be the EAS Design, Development, and Implementation vendor. The Design, Development, and Implementation (DD&I) vendor will develop the test protocol for EAS. The business requirements stated in this FSR will be added to the outstanding M & O Request for Proposal (RFP) and will be used as the foundation for the design effort. The approved design products will then be used as the foundation for the EAS development. Comprehensive system and user acceptance testing will be conducted, documented, reviewed and approved.

Development of the EAS has been structured to adhere with the CDSS' strategic direction and information technology standards and the Adoptions Program information technology initiatives.

5.1.3 Integration Issues/Technical Interfaces

The EAS will be integrated with the current CWS/CMS environment. All interfaces to existing systems will require analysis for possible re-design as a result of the EAS.

5.1.4 Testing Plan

Test activities will occur in every phase of this project life cycle based on the guidelines of IEEE Standard 1074-1995.

The Design, Development, and Implementation (DD&I) vendor will develop the test protocol for EAS. A test plan outline will be developed in the design activity of the project. Significant testing activity, including module and integration tests will occur in the Test Phase. In addition, there will be System Acceptance and User Acceptance testing once the system is ready for complete operation.

5.1.5 Training Plan

The DD&I vendor will develop the training plan for EAS during the design activity of the project. The DD&I vendor will then provide all training materials needed and provide train-the-trainers training for State personnel. The DD&I will also directly provide some of the training. It is anticipated that start up training will be required for over six hundred (600) adoption caseworkers that will use the EAS statewide.

In addition, the DD&I vendor will develop a Computer Based Training Module for the EAS.

5.1.6 Confidentiality and Security

The business requirements for EAS document the confidentiality and security needs for this automated system. The following summarizes the main points:

- Compliance with the IT standards required by HHSDC and the CDSS ISD
- Authentication of users
- Access protocols
- Data integrity
- Audit trail for data changes
- Confidentiality of birth parent information
- Confidentiality of adoptive family information

5.1.7 Impact on Operations (End User/Existing System)

The EAS will have an impact on current operations primarily in the areas where processes have been manual and will be automated. Change also will occur in providing caseworkers, management and other stakeholders (e.g., the Administration and the Legislature) with information that previously was not available. The following are some of the major impacts of the EAS: Some highlights include:

- Automation of the Adoptions business processes which will allow data collection in the course of business operations. This will facilitate the production of accurate management reports.
- Substantial amounts of paper processing, reporting and storage will be eliminated.
- Local business operations will change substantially. Adoption workers will need training in the effective use of automated tools. The ability to create, process, approve and track documents electronically will eliminate the need to make redundant copies, logs and tickler files.

- The transition to the new system, including the conversion of existing systems and their data stores and the conversion mapping and data purification tasks will require State and local effort.
- Concurrent planning to facilitate the permanent placing of a child will reduce the State's financial burden.
- Compliance with AFCARS requirements for timely reports and accurate data will be achieved.

5.1.8 Impact on Current Infrastructure

The current CWS/CMS infrastructure and network topology will remain substantially the same, as described in Section 4.

The additional application software, expanded number of users, and associated increase in network traffic, and database structure and storage changes will place an increased demand on the infrastructure resources. The DD&I vendor will be required to conduct network and other infrastructure studies to quantify the effects of EAS on the production environment, and will make recommendations on mitigation of potential problems and specify the requirements for hardware and software upgrades for the client, host and network equipment. At this time, there are no infrastructure upgrades anticipated. This assumption is to be reviewed further by the DD&I Vendor.

5.1.9 Backup and Operational Recovery

The EAS recovery processes will be part of the CWS/CMS current procedures. Current backup and operational procedures will incorporate EAS.

5.2 Rationale for Selection

This Alternative most effectively and efficiently utilizes the investment the State has already made in the CWS/CMS while meeting all of the stated goals, objectives and requirements.

5.3 Other Alternatives Considered

The CDSS considered the following alternatives other than the recommended solution:

5.3.1 Alternative 1 – Return to a Manual System

1. Description

   Alternative 1 is to discard the current system and return to a completely manual system.

2. Costs
   Since this Alternative does not fully satisfy the objectives and functional requirements, no costs were estimated.

3. Benefits

   There are no benefits to this alternative.

4. Advantages

   There are no advantages to this alternative.

5. Disadvantages

   If this Alternative were chosen, the State and counties would have to abandon existing automated systems. This would create a loss for the State in that funds invested in training personnel would have been wasted, as would the costs already invested in the Adoptions module of the CWS/CMS.

   In addition, the State would certainly be in violation of the AFCARS requirements as they were before the CWS/CMS was modified to make the required reports. Finally this system does not meet the SACWIS requirements for a totally integrated Foster Care/Adoptions system.

5.3.2 Alternative 2 – Continue the Current System

1. Description

   This Alternative is to continue the current system, as is, with no changes.

2. Costs

   Since this Alternative does not fully satisfy the objectives and functional requirements, no costs were estimated.

3. Benefits

   There are several benefits to this alternative:

   a. There are no increased costs.
   b. No additional development is needed.
   c. No additional training is required.
   d. AFCARS reporting requirements are met.

4. Advantages

   The only advantage to this Alternative is that AFCARS reporting requirements will be met.

5. Disadvantages

   The primary disadvantage of this system is that it does not meet the SACWIS requirement for an adoption case management system. In addition, the State may be required to repay Federal funds already expended to develop CWS/CMS.

5.3.3 Alternative 3 – Develop an Entirely New Adoptions System

1. Description

   This Alternative is to replace the current systems with an entirely new automated system that will meet all of the requirements.

2. Costs

   This Alternative will satisfy the goals, objectives and functional requirements. This alternative would cause the State to abandon those portions of the system that have already been developed and lose the benefits gained by the funds already expended. In addition, a new system would require the construction of a separate hardware and software infrastructure when one already exists that can be easily modified to accept the increased workload.

   No costs were estimated for this Alternative as the costs for the added network, hardware and software would be duplicate of costs the State is already incurring for the CWS/CMS.

3. Benefits

   The benefit to this alternative is that the State would be able to design and develop an entirely new system where the State could insure that the system meets all Federal and State requirements.

4. Advantages

   This Alternative would meet all of the stated goals, objectives and requirements.

5. Disadvantages

   The disadvantage to this Alternative is that the State would lose the time, effort, funds and training spent on the current system.

   This Alternative would cause the State to redo work that has already been accomplished within the existing CWS/CMS.

6 PROJECT MANAGEMENT PLAN

The Project Management Plan (PMP) is based primarily on the practices and conventions currently in use at the CWS/CMS project site. HHSDC will utilize the existing methods and processes for maintaining CWS/CMS at the time of project initiation to manage the EAS project. Since the CWS/CMS M&O contract is out for competitive bid, the requirements of this FSR will be amended into the current solicitation. The CWS/CMS Project Director from HHSDC will be responsible for project and contract management.

This PMP has been developed to provide HHSDC (CWS/CMS) with the capability to oversee the successful completion of the DD&I of the EAS. HHSDC will utilize qualified private vendors to perform selected activities of the project, including the CWS/CMS M&O Contractor and an Independent Verification and Validation (IV&V) Contractor.

The basis for the solicitation and subsequent statement of work negotiated with the vendor will be this FSR, as approved by Department of Information Technology (DOIT) and CDSS. The requirements for the EAS, as identified in this FSR, will be included in the RFP currently being conducted by the Health and Human Services Data Center to obtain a M&O contractor for the CWS/CMS. The proposals will be evaluated to assure they provide for the opportunity to contract for services to meet the Expanded Adoptions System requirements. In addition, the proposals will be evaluated to ascertain that the bidder proposes to follow standards and procedures, for all phases of the project, that comply with the published standards of the DOIT. The M&O contract will be awarded to the firm that submits the proposal that provides the best value to the State, including the State's requirements related to the need for meeting additional business requirements beyond today's CWS/CMS, such as an Expanded Adoption System.

IV&V vendors will be requested to propose an IV&V approach based on industry standards and procedures that minimize the risk of the project failing to fulfill established objectives.

At initiation of the vendor's concept phase, the DD&I vendor will submit a development PMP specifying the approved standards and procedures for the project. The CWS/CMS Project Director will use the state-approved PMP to manage the successful completion of the project.

The project planning phases and their dates outlined on pages 2-4 and 6-20 will be contingent upon several factors including: the date of the awarding of the M&O contract, contract amendment negotiations for the EAS and the Independent pricing validation, and federal and State approvals needed to proceed with the DD&I.

6.1 Project Manager Qualifications

The CWS/CMS Project Director is responsible for overall project management. The Project Director will be the primary interface between the project team and the other entities involved in the project. The Project Director will be:

- Thoroughly familiar with the business requirements of CDSS and its organizational capabilities, particularly the CWS/CMS system and the adoptions program
- Experienced in managing sub-contracted development efforts

- Capable of identifying key issues or concerns during the design, development & implementation phases
- Capable of directing the efficient resolution of issues
- Capable of providing timely and accurate guidance and support to the CDSS staff as well as the DD&I and IV&V vendors' management and staff, as required, to fulfill the stated objectives of the project

Consultant services may be used to augment this position at critical points such as during project initiation and planning phases and implementation.

The DD&I vendor's project manager must be a senior level project manager experienced in the development and implementation of systems with characteristics similar to the proposed solution, and the CWS/CMS system.

The IV&V vendor's project manager must be a senior level project manager experienced in the IV&V processes and procedures for overseeing the development and implementation of systems with characteristics similar to the proposed solution.

6.2 Project Management Methodology

The HHSDC Project Office Model will be used in developing the Project Management Methodology. The HHSDC Project Office Model promotes re-employment of proven project management processes to minimize project risk and improve information technology management across the system development lifecycle. HHSDC Project Office has developed standards, practices and tools to:

- Accurately and clearly define and manage system requirements
- Guide the selection of a qualified vendor to design, develop and maintain the system based upon best value to the State
- Continually monitor project cost, schedule and technical progress of the vendor throughout the project lifecycle
- Systematically test and/or evaluate work products before acceptance
- Proactively manage risk
- Effectively plan application implementation
- Minimize disruption in the organizations receiving the new/enhanced system
- Provide effective business process re-engineering
- Properly train the receiving organization
- Prepare the receiving organization infrastructure for the new system
- Continually communicate with all stakeholders
- Efficiently resolve project problems/issues
- Properly close a project and document the lessons learned for future use

Employment of the standards, practices and tools promotes the success of the public sector information technology project manager throughout the software development lifecycle.

6.2.1 Project Tracking

The objectives of the entire Adoptions project are set forth in this FSR. CWS/CMS project management will utilize the PMP and the contract with the M&O vendor as the vehicles for

tracking the status of the technical and managerial processes necessary to satisfy project objectives. CWS/CMS will require that the selected DD&I and IV&V vendors provide scheduled status reports for management and staff identifying the tasks for the period, including issues or questions that must be addressed or have been addressed since the last status review.

6.2.2 Project Meetings

Scheduled and ad hoc project status meetings provide an opportunity for all parties to understand project status, to discuss issues or concerns and to coordinate plans for upcoming reviews or other project activities. In addition, the DD&I vendor and the selected IV&V vendor will maintain regular communication with CWS/CMS management and/or its stakeholders external to HHSDC, to clarify or identify information required for the completion of project deliverables.

6.2.3 Project Status Reports/Schedule Updates

To foster timely and meaningful communication among all project teams, a written management status report will be submitted, on the first working day of each month, to the CWS/CMS Project Director by the DD&I and IV&V vendors. The report will include the following components:

- Summary of accomplishments and earned value
- Key issues and / or questions and proposed tasking
- Objectives for the coming period and proposed tasking
- Updated Risk Management Status
- Updated Project Schedule, including status of deliverables
- Summary of hours and costs by period and to date for IV&V

The Project Schedule will be updated weekly to allow project members to anticipate and plan for project tasks and resource requirements, including identifying possible conflicts in resource availability.

6.2.4 Risk Management

Section 7, Risk Management Plan, of this FSR, documents the processes and procedures that will be utilized to manage project risks.

6.2.5 Project Deliverables/Review

The set of project deliverables to be developed and submitted by the DD&I vendor to CWS/CMS Project Director for review and acceptance is derived from the IEEE Software Engineering Standards.

The deliverables are listed in Figure 6-1 – Implementation Deliverables & Responsibilities on page 6-5. Time will be allocated in the project schedule for deliverable review, revision and acceptance. The achievement of project milestones and completion of deliverables will be documented in writing to the CWS/CMS Project Director.

The IV&V vendor or the project Quality Assurance staff will perform critical risk assessment and verification and validation of all life cycle processes, reviews, and deliverables for the DD&I vendor and/or the State.

All review processes will begin with a detailed walkthrough of each deliverable. The walkthrough will be conducted by the developer and will include the responsible CWS/CMS management and staff and other project members, as appropriate. The walkthrough provides the basis for a clear understanding of the content of the deliverable and provides CWS/CMS staff with the opportunity to quickly resolve questions or concerns with the product.

If revisions to deliverables are required, the description of the changes required must be provided in writing to the party responsible for the deliverables, within the designated review period. Approval of each deliverable by CWS/CMS will be in the form of an approval memo addressed to the party responsible for the deliverable.

Figure 6-1 – Implementation Deliverables & Responsibilities

Integration Vendor Deliverables	State Responsibilities
Concept Phase	
• Project Management Plan (PMP)	Management Review (MR)
• Configuration Management Plan (CMP)	Approval of Vendor Plan
• Quality Assurance Plan (QAP)	Approval of Vendor Plan
Requirements Phase	
• System Requirements Specification (SRS)	Review Vendor Requirements
• Interface Requirements Specification (IRS)	Review Vendor Requirements
• System and Acceptance Test Plans	Approval of Vendor Plans
Design Phase	
• System Design Document (SDD)	Review Vendor Design Document
• Interface Design Document (IDD)	Review Vendor Design Document
• Database Design Document (DBDD)	Review Vendor Design Document
• System User Manual (SUM)	Approval of Manual
• Preliminary Design Review (PDR)	Approved to Proceed to Final Design
Implementation Phase	
• Critical Design Review (CDR)	Approved to Proceed
• System Test Description (STD)	Review Vendors Test Documents
• Training Plan	Approved to Proceed
• Test Readiness Review (TRR)	Approved Test Descriptions or Scenarios
Test Phase	
• System Test Summary Report (STR)	Results Review (RR)
• Test Completion Review	Results Review (RR)
Installation and Checkout Phase	
• System Acceptance Test Summary Report	Approved Test Results

6.2.6 Project Implementation Schedule

The project schedule included in Sec. 6.5.5, , sets forth a high level schedule for the proposed solution to fulfill the project objectives and requirements. This schedule will be updated by the DD&I vendor immediately following project initiation. The updated schedule will include adequate time for deliverable review, modification if required, and approval.

6.3 Project Organization

The project team will be comprised of a designated and qualified project director, representative(s) from executive management, and program representatives. Table 6-1 – CWS/CMS Project Team, illustrates the composition and responsibilities of the recommended EAS Project Team based on the current CWS/CMS project organization. The team organization presented below is intended to provide the skill sets and responsibility coverage necessary for project success. As CWS/CMS revises its organizational structure to meet the changing demands of the business, the classifications described below will be revised appropriately.

The process model for managing the successful completion of the design and development tasks and the implementation of the EAS functionality will be delineated in the vendor developed PMP schedule. This schedule will identify the timing and dependencies for major milestones, work activities, deliverable reviews and approvals.

Table 6-1 – CWS/CMS Project Team

Project Manager

- Develop and coordinate the Project Charter
- Direct and coordinate customer and stakeholder communications
  - ⇒ Participate as member of Department Executive Staff
  - ⇒ Communicate with the Legislature and Federal Government
- Direct management staff and project activities
  - ⇒ Direct project planning activities
  - ⇒ Oversee project office organization and staffing
  - ⇒ Oversee project tracking and metrics tracking
  - ⇒ Oversee and participate in risk management
  - ⇒ Oversee and participate in issue resolution
  - ⇒ Monitor IV&V effort
- Negotiate prime contract
- Approve and accept work products
  - ⇒ Provide final approval for all project work products
  - ⇒ Provide final acceptance for all project consultant and prime contractor deliverables
- Participate in change control board decisions
- Perform contingency planning

Assistant Project Manager

- Assist Project Manager

- Manage the development and maintenance of project planning documentation
- Direct and coordinate internal project activities
  - ⇒ Direct project planning
  - ⇒ Direct project office organization and staffing
  - ⇒ Direct project tracking and metrics tracking
  - ⇒ Coordinate problem identification and resolution activities between prime contractor, customer, and project staff
  - ⇒ Direct and participate in risk management and contingency planning
  - ⇒ Direct Quality Assurance
- Prepare Project Management Reports
- Prepare reports for legislature
- Prepare periodic status reports
- Respond to special requests from Federal and State control agencies
- Attend planning and management meetings
- Review work products
  - ⇒ Provide final review for all project work products before Project Manager approves
  - ⇒ Provide final review for all project consultant and prime contractor deliverables before Project Manager accepts

Executive Assistant

- Provide secretarial support
- Answer and direct phone calls
- Schedule and maintain project manager(s) calendars
- Maintain status reporting schedules to assure project reporting obligations are met
- Prepare draft correspondence for project manager
- Prepare presentations

System Architect

- Not a managerial position
- Ensure the technical and business solution addresses the problem
- Provide final recommendation for technical decisions
- Serve as chief technical advisor to the Project Manager
- Define system quality attributes (capacity, availability, maintainability, etc.)
- Develop validation strategy for requirements and system
- Verify requirements feasibility
- Verify design feasibility
- Monitor system engineering activities
- Provide technical expertise during procurement
- Advise the change control board

Project Plan Manager

- Build and maintain project schedule.
- Track progress against project schedule.
- Track progress of prime contractor against schedule.
- Produce appropriate schedule and resource progress reports.
- Receive and log deliverables from project consultant contracts.
- Track deliverables through the review process.
- Coordinate notification and resolution of deliverable deficiencies.

Procurement

RFP Requirements Manager

- Review procurement schedule and work plans.
- Serve as single point of contact for the bidder who is awarded the M & O contract for CWS/CMS in all EAS-related matters.
- Manage development of the EAS-related addendum to the RFP.
- Direct and coordinate inputs of the EAS-related addendum from contributing authors.
- Provide oversight to the Systems Engineering Manager.
- Participate in preparing briefing documents for the EAS Project Manager.
- Assist the editor of the RFP.
- Coordinate reviews and updates of EAS-related material in the RFP.
- Perform final edit before approval.
- Coordinate approval of the EAS-related addendum to the RFP.
- Participate in the evaluation of proposals and selection of vendor.

System Engineer

- Prepare technical portions of RFP.
- Contribute to the Proposal Evaluation Plan.
- Develop reports for the Quality Assurance staff person.
- Participate in change control board decision making.

Project Staff

Subject Matter Experts

- Review current and pending state and federal legislation related to the child welfare and adoptions programs for impact to the proposed design.
- Participation in the Joint Application development (JAD) Teams on software development effort.
- Attend and/or facilitate stakeholder meetings
- Develop reports and briefings for the management team of CWS/CMS as needed.
- Participate in the initial review of all vendor work products

Implementation Plan Manager

- Convene and facilitate work groups of county EAS implementation managers.
- Provide input to the vendor implementation team based on county and state implementation meetings.
- Provide expert consultation services to the field staff of CWS/CMS (System Support Consultants).
- Review proposed implementation plans proposed by the vendor and make recommendations to the EAS Project Manager.

Test Engineer

- Develop business scenarios consistent with adoptions business processes.
- Review and refine business scenarios as new functionality is added to the application
- Participate in application integration and system testing
- Participate in the development of test schedules and plans.
- Provide support for county test activities
- Plan and participate in user acceptance testing
- Evaluate user documentation during testing
- Update the Problem Tracking System (PTS), an internal change control tool.

Training Coordinator

- Consult with self-training counties for strategies for training approaches and uniformity for EAS.
- Review and approve all vendor training products and curriculum
- Conduct beta testing for all training products and services prior to EAS release.
- Coordinate regional CWS/CMS user groups and county training programs
- Participate in the assessment of county training needs
- Provide oversight of vendor technical environment including host training region and test case loads and refreshes
- Act as functional system expert to and coordinate with the fourteen California schools of social work

System Support Consultants

- Document current business processes and assist the counties to assess the impact of system changes
- Advise the counties on Best Practice in Transition Planning.
- Advise the counties on change requests the adoptions area and their status.
- Consult with counties on the continued analysis of data quality and work with the counties at the regional level to develop consistent strategies for data conversion.
- Work with the counties to develop Business Process Re-engineering plans which will assist counties to integrate the EAS effectively in to their local Adoption Program business structure.

Administrative Support

Administrative Services Specialist

- Assist in the development and preparation of SPRs, BCPs and APDs/APDUs, which ensure continued federal and state funding participation and approval.
- Manage contracts and contract amendments to secure services of technical staff
- Monitor contractor activities.
- Provide input to the procurement process as required.
- Develop CWS/CMS related budget data

Information Technology (IT) Support

Configuration Manager

- Prepare Configuration Management Plan
- Control configured items
- Conduct configuration control boards
- Report status of configuration items
- Backup and archive configuration records
- Dispose/transfer records at completion of project (with Project Librarian)
- Monitor prime contractor Configuration Management activities
- Monitor user Configuration Management activities
- Monitor project hardware, software and desktop inventory and configuration
- Coordinate configuration management activities with other parts of the EAS Project

LAN Support

- Install, configure, maintain and troubleshoot Windows NT environment on an Ethernet network.
- Maintain the routers, hubs, servers and wiring supporting the LAN.
- Design, install, monitor, optimize and document the LAN
- Maintain currency of LAN components
- Provide technical assistance to Project staff and customers regarding the LAN Infrastructure operability, management, configuration management, and capacity planning.
- Provide Help Desk support to Project staff
- Provide and maintain a current update of all system configuration, utilities, business applications, and operating system for current and all subsequent customers.

External Support

Program/Customer Organization (CDSS) Representative

- Provide business and program policy expertise
- Ensure the business needs of the program are represented
- Ensure M&O activities comply with program policies
- Evaluate system changes for compliance with program policies
- Analyze legislation for business/program impacts

Independent Verification and Validation (IV&V)

- Provide independent perspective for reviews, meetings and evaluations
- Prepare status reports mandated by DOIT
- Monitor project activities
- Evaluate prime contractor's proposals for technical feasibility
- Evaluate prime contractor's work products for correctness and completeness
- Monitor prime contractor's test program
- Validate adequacy and appropriateness of test procedures
- Verify requirements traceability

Executive Customer Liaison

- Assist in Stakeholder communication
- Represent user interests to project
- Communicate high-level project goals to users
- Participate in planning and management meetings

Other Stakeholders

Department of Information Technology (DOIT)
Department of Finance (DOF)
Department of Finance/ Technology Investment Review Unit (DOF/TIRU)
California Health and Human Services (CHHS)
Federal Agencies
Customer (Department of Health Services (DHS), California Department of Social Services (CDSS), etc.)
Legislature
Advocates and Advisory Groups
Other County Organizations (California District Attorneys Association (CDAA), California Welfare Directors Association (CWDA), etc.)

The Existing Staff will consist of personnel already assigned to the CWS/CMS. All additional personnel equivalents are identified in the cost sheets. A listing of all additional staff, by job title and Fiscal Year, is attached as Appendix C.

6.3.1 Organizational Structure

The primary responsibility for the management of the day to day activities related to the EAS project rests with the CWS/CMS Project Director, HHSDC and CDSS executive management who are ultimately accountable for the project's success or failure. To provide for proper executive management oversight and support, the Governance Executive Steering Committee established within the current CWS/CMS Governance Structure will provide executive level support and oversight to the project. The committee meets periodically to review overall project status and to review significant risk issues. The committee has the final authority to authorize changes to project scope, schedules or resources.

Figure 6-2 depicts the Executive Steering Committee and its relationship to DOIT, DOF, the CWS/CMS project team, and the DD&I and IV&V vendors. The figure illustrates

direct lines of communication using solid line indicators. Indirect reporting relationships are indicated by a dotted line.

The Economic Analysis Worksheet (EAW) for the proposed solution, included in Section 8, Economic Analysis Worksheets, shows the total adoption program costs and an estimate of all identifiable cost items required to complete the development and implementation tasks of the EAS project. The final staffing and costs associated with the DD&I and IV&V vendor responsibilities will be available for review following contract negotiations.

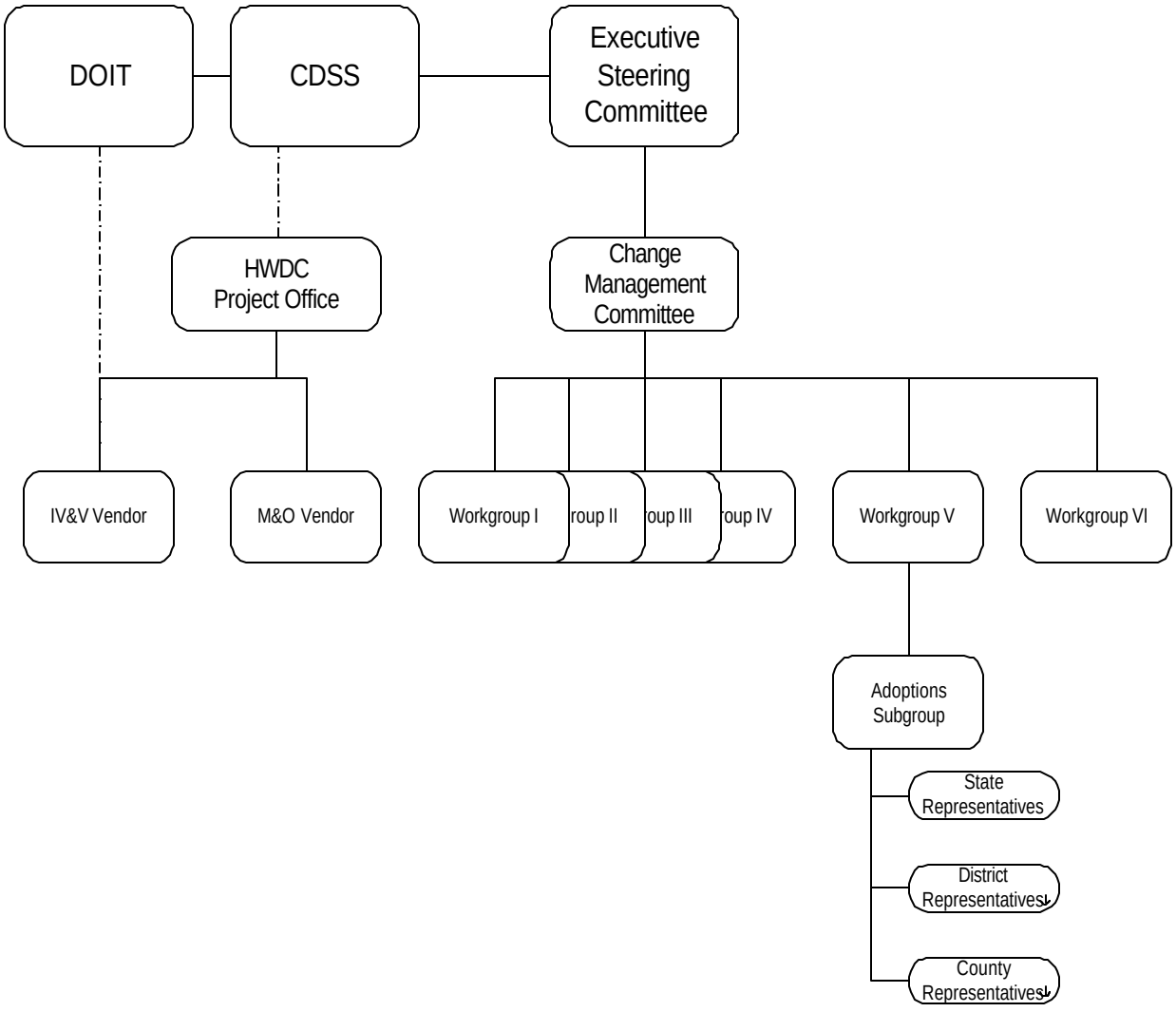


Figure 6-2 – Expanded Adoptions System Project Organization Chart

6.3.2 Organizational Boundaries and Interfaces

The primary interface positions in the EAS Project Team organization are the CWS/CMS Project Director, the CDSS Project Sponsor, the DD&I vendor Project Manager and the IV&V vendor Project Manager. The individuals to fill these positions will be identified prior to contract start. The CWS/CMS Project Director will be responsible for coordinating and/or authorizing communication with other State organizations, data providers and data users in support of this project. The CWS/CMS Project Director is also responsible for authorizing any project schedule changes, and is also responsible for submitting modifications to approved system specifications or functionality to the CWS/CMS Change Management process. Additionally, the CWS/CMS Project Director is responsible for assuring that all tasks and support responsibilities of the data center are fulfilled as scheduled. The CWS/CMS Project Director is responsible for representing the data center in all matters related to the Expanded Adoptions System project.

The DD&I vendor is responsible for completing all tasks in accordance with the procurement agreement. The DD&I vendor will report directly to the CWS/CMS Project Director.

The IV&V vendor will be responsible for completing all verification and validation activities in accordance with the statement of work negotiated during the vendor procurement process. The IV&V vendor will report directly to the CWS/CMS Project Director and maintain a dotted line reporting relationship to CDSS, the Executive Steering Committee and the DOIT.

6.4 Project Priorities

The project resources are constrained due to the use of existing and incremental CWS/CMS project organizations and processes, and the future M&O vendor. The project schedule is classified as accepted in that the timing and implementation of the EAS is dependent on fielding a useable and complete system. Finally, the project scope is classified as improved due to the flexibility and continuing definition of the necessary adoption subsystem and changing State and Federal directives.

CDSS executive and program management has established primary objectives for EAS as described in Section 3.3. The primary objective is to implement and operate a comprehensive adoptions case management subsystem within CWS/CMS that complies with the directions and schedules set forth in Federal and State directives. Those directions emphasize improving the services to children and families while promoting concurrent planning between adoptions and child welfare casework.

6.5 Project Plan

6.5.1 Project Scope

The EAS of the CWS/CMS has been designed to satisfy the objectives set forth in Section 3, as well as the stated objectives of CDSS management to improve the quality of its products and services. This will result in the provision of the full range of adoption supportive services, including required forms and reports, and a single source to record and track each step of the adoptions process.

6.5.2 Project Parameters

Table 6-2 – Assumptions, Dependencies & Constraints sets forth the assumptions on which the project is based, the external events the project is dependent upon, and the constraints under which the project is to be conducted.

Table 6-2 – Assumptions, Dependencies & Constraints

Assumptions	Description
System Performance	The Adoptions Expanded System will not have an adverse effect on CWS/CMS performance to the point of negatively impacting CWS/CMS business programs or personnel efficiency
System Development	Vendor proposals will be submitted as part of the RFP to select the M&O vendor for the CWS/CMS.
Dependency	**Description**
Confidentiality	Confidentially issues will be sufficiently resolved to proceed
Resources & Funding	Budget Change Proposals will enable the allocation of sufficient resources for successful completion of the project within the desired schedule. Adequate funding will be secured to develop the complete proposed system
Constraints	**Description**
Existing Contracts	The Implementation vendor will also be the CWS/CMS M&O vendor.
System Architecture	The EAS must be developed within the current CWS/CMS architecture

6.5.3 Project Phasing

The proposed solution will be implemented in a single development life cycle iteration (e.g. not in multiple releases) consistent with maintaining current CWS/CMS functionality, availability and reliability.

The deliverables and milestones included in the project process flow, together with the entity responsible for development, review and approval are shown in Figure 6-1 – Implementation Deliverables & Responsibilities on page 6-5.

6.5.4 Roles and Responsibilities

Successful completion requires a mix of skilled resources from the State. CWS/CMS management and key staff will have the ability to perform the following:

- Direct the development of required documentation to support the DD&I and IV&V vendor procurement process
- Conduct the review and evaluation of the submitted proposal and any negotiations necessary before execution of the DD&I and IV&V contracts
- Define the functional and detailed requirements that must be satisfied by the proposed solution
- Actively participate in the review and acceptance of the deliverables developed by the DD&I vendor
- Participate in the definition and execution of test scenarios to validate the system functionality and integrity
- Direct the development or revision of policy and operational procedure manuals as required by the proposed solution
- Accept the completed system

Table 6-1 – CWS/CMS Project Team on page 6-6 through page 6-11 lists the key management and staff classifications and their responsibilities in support of the project. The anticipated CDSS Program and CWS/CMS staff requirements to support the Development and Implementation phases of the EAS project are set forth in the Alternative System Cost Worksheet for the Proposed Alternative included in the EAW contained in Section 8.

The DD&I vendor will be required to staff the project with a variety of management, clerical and technical staff. A senior project manager, experienced in the development and implementation of systems with characteristics comparable to the proposed solution (CWS/CMS), must be identified in the proposal and subsequently assigned to direct the efforts of the vendor staff.

The IV&V vendor will be responsible for conducting oversight and validation of the activities and accomplishments of the project team. The IV&V vendor will validate that all requirements are fulfilled and that the DD&I vendor and the State meet all contractual obligations. The IV&V vendor must provide senior staff experienced in IV&V processes and procedures for completing the IV&V tasks for projects similar to the proposed solution. All IV&V tasking and deliverables will be in accordance with ANSI/IEEE Std 1012-1998, IEEE Standard for Software Verification and Validation.

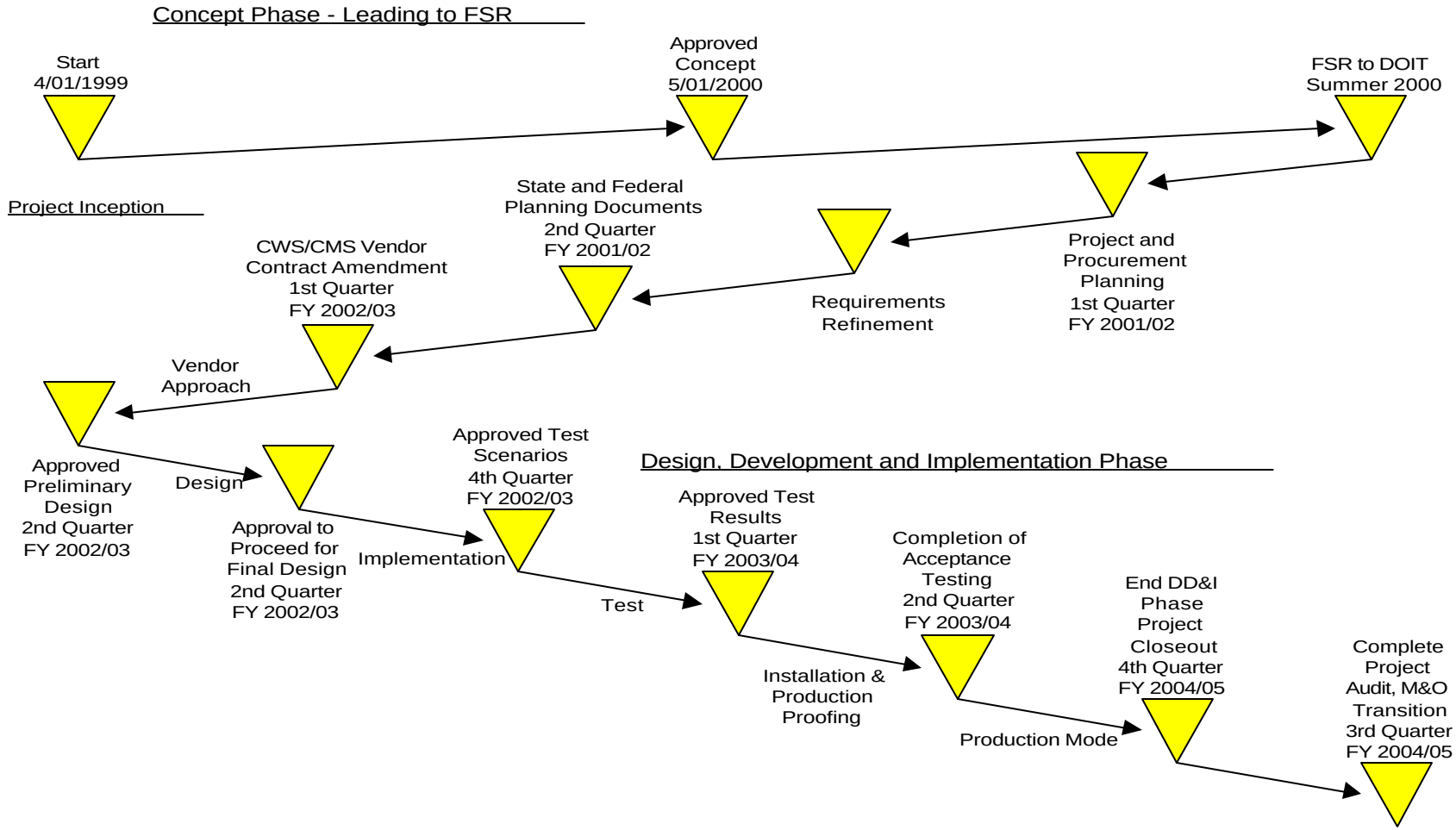
Section 6.3, Project Organization, will be updated as appropriate after Contract Amendment delivery. The updated section will identify key management and organizational resources and their responsibilities within the project. The proposal submitted will detail the staffing needs for the various tasks negotiated in the final statement of work.

6.5.5 Project Management Schedule

The final project schedule and the resource requirements for completing each deliverable will be determined by the final negotiated statement of work and reflected in the vendor developed PMP. The CWS/CMS Project Director will use the vendor-developed plan to manage the completion of the project.

The following chart provides a high level schedule for CDSS and CWS/CMS management, and the selected DD&I and IV&V vendors, to follow for the timely completion of the project.

The final project schedule will be developed by the DD&I vendor to reflect the approved project detailed plans and required resources for project success. The final schedule will be available to all project managers and will be reviewed on a weekly basis at the project status review meetings.


Concept Phase - Leading to FSR
Start
4/01/1999
Approved
Concept
5/01/2000
FSR to DOIT
Summer 2000
Project Inception
State and Federal
Planning Documents
2nd Quarter
FY 2001/02
CWS/CMS Vendor
Contract Amendment
1st Quarter
FY 2002/03
Requirements
Refinement
Project and
Procurement
Planning
1st Quarter
FY 2001/02
Vendor
Approach
Approved
Preliminary
Design
2nd Quarter
FY 2002/03
Design
Approval to
Proceed for
Final Design
2nd Quarter
FY 2002/03
Approved Test
Scenarios
4th Quarter
FY 2002/03
Design, Development and Implementation Phase
Implementation
Approved Test
Results
1st Quarter
FY 2003/04
Test
Completion of
Acceptance
Testing
2nd Quarter
FY 2003/04
Installation &
Production
Proofing
End DD&I
Phase
Project
Closeout
4th Quarter
FY 2004/05
Production Mode
Complete
Project
Audit, M&O
Transition
3rd Quarter
FY 2004/05

The final project schedule will identify work packages that are further decomposed into a Work Breakdown Structure (WBS) for the identified project deliverables. The lowest level of decomposition is referred to as an activity and higher levels are referred to as activity groups. The numerical identifier for the work breakdown structure will be defined by the DD&I vendor. The identifier will allow the schedule user to relate a given activity to the work package and then the process or subsystem.

The final Project Schedule shall depict the dependencies and inter-relationships among project activities. The dependencies are a key element in the development of a realistic and achievable schedule. The dependencies may be the relationship of the completion of one activity to another activity, or it could be caused by a conflict in the availability of a particular resource.

6.6 Project Monitoring

Periodic status reports, with the contents as defined in Section 6.2.3, Project Status Reports/Schedule Updates, will be utilized for monitoring the status of project activities. The project schedule will be periodically updated by the DD&I vendor and available for distribution at the project status meeting. This schedule will minimally identify; key activities, responsible resources or resource group, estimated start and finish dates, actual start and finish dates, and percent completion. A Gantt chart will be included and will list key dependencies identified to date. The DD&I project manager will minimally review project performance with the CWS/CMS Project Director at least once a week. More frequent project reviews will be utilized only if circumstances warrant. Project monitoring will be consistent with the M&O contract in effect at project start.

The initial Project Risk Assessment is included in Section 7, Risk Management Plan, of this FSR. Mitigation plans for each identified risk will be developed by the DD&I vendor. Responsibility for applying the risk mitigation will be determined as soon as possible to maximize risk avoidance. Potential risks will be evaluated on a weekly basis to allow reporting of significant increases in risk, or avoidance of previously identified risks. Risk mitigation status will be included as an essential element of the weekly project review meeting.

All project deliverables will be subjected to in depth review to assure they fulfill the business needs of the State. The review process is described in Section 6.2.5, Project Deliverables/Review. The State will utilize the services of an IV&V vendor to perform the IV&V responsibilities. The IV&V vendor performs critical risk assessment of all project life cycle processes, reviews, and deliverables for both the DD&I vendor and the State. The IV&V vendor will submit a Software V&V plan, including required resources and project schedule dates, for State approval following contract award. All IV&V tasking and deliverables shall be in accordance with ANSI/IEEE Std. 1012-1998.

6.7 Project Quality

The Project Management Methodology described in Section 6.2, Project Management Methodology, has been developed to assure the successful development and implementation of this project. The plan focuses on the continual and thorough review and acceptance of all deliverables, assuring the resultant product fulfills the stated objectives of CDSS management of improving the timeliness and quality of data and services made available to its users and customers.

The deliverables and milestones set forth in Figure 6-1 – Implementation Deliverables & Responsibilities and the schedule of reviews and approvals comprise the software plan for the project. The software documentation will meet industry standards for the documentation type.

The selected DD&I vendor will be responsible for developing and administering the Software Quality Assurance Plan and the Configuration Management Plan in accordance with the M&O contract. The structure of the plans and the resources and time required to complete these plans will be included in the DD&I vendor proposal. The plans shall be developed in accordance with ANSI/IEEE Standard 730.1-1995 Guide for Software Quality Assurance Planning, ANSI/IEEE Standard 828-1990 Standard for Software Configuration Management Plans, and the DOIT Project Management Methodology. The proposed schedule and resources required to develop the plans shall be included in the vendor developed PMP following DD&I vendor contract award. The plans shall be delivered to CWS/CMS management for review and approval in accordance with the updated project schedule. The IV&V vendor shall have responsibility for validating the plans and assuring that the procedures outlined in the plans are implemented and maintained for the life of the project.

6.8 Change Management

The basis for controlling and managing change during the term of the project is delineated in the M&O Contract as well as in this FSR. The CWS/CMS Project Director in conjunction with the Oversight Committee is responsible for authorizing any changes to previously approved project scope, resources or schedules. The deliverable development and review process, wherein CWS/CMS managers and staff review and approve completed requirements documentation, assures the automated processes to be developed will fulfill the business needs of the State. The weekly review of the project status and the ongoing updating of the project schedule assure resources have been applied to changes and that the change will not impact scheduled project activities.

Comprehensive test plans will be developed and executed to confirm that automated processes conform to functional requirement specifications.

The test plans will exercise all system components to confirm their ability to interface and their inter-operability.

The DD&I vendor shall maintain all software documentation, delivered in support of this project, under version control. The DD&I vendor will be responsible for implementing approved Change Control Procedures for the duration of the project. The structure of the Plan and the resources and time required to develop the Plan will be included in the DD&I vendor proposal. The Plan shall be developed in accordance with the ANSI/IEEE Standard 828-1990 Standard for Software Configuration Management Plans and the DOIT Project Management Methodology. The proposed schedule and resources required to develop and implement the Plan shall be included in the final PMP following DD&I vendor contract award. The Plan shall be delivered to CWS/CMS management for review and approval in accordance with the updated project schedule.

The IV&V vendor shall have responsibility for validating the Plan and assuring that the procedures outlined in the Plan are implemented and maintained for the life of the project.

6.9 Authorization Required

This project requires FSR and state funding approvals from the Department of Information Technology and the Technology Investment Review Unit, Department of Finance as stipulated by State information management policies governing project initiation and approval. The Advanced Planning Document Update will also be approved by the Administration for Children and Families (ACF).

7 RISK MANAGEMENT PLAN

7.1 Risk Management Approach

The Risk Management Plan sets forth a discipline and environment for identifying, analyzing and responding to project risks. To be effective, risk management must be an integral part of the way projects are managed. The process that the project team will use to manage project risks should be defined in the planning stage, be consistent with current M&O processes, and executed throughout the life of the project.

Risk identification consists of the determination of potential external and internal events that correspond to an additional overhead to the project. Not every risk is necessary to identify and track, but those that pose either a significant potential loss, or a very high probability for impacting the system should be documented, assessed, and tracked. The risks documented in this FSR are a first level approach to risk identification for the project.

An appropriate risk management approach should take into consideration the following processes.

- **Risk Assessment:** the process of identification, analysis, quantification, and prioritization of risks
- **Risk Response:** the actions taken to manage risk, such as risk avoidance, risk acceptance, risk mitigation, risk sharing and independent project oversight
- **Risk Tracking and Control:** the process of monitoring risks and risk response actions to ensure that risk events are actively dealt with
- **Risk Reserves:** the resources (cost, time and staff) allocated to manage risks

Risk identification begins in the early planning phase of the project. The DOIT Risk Assessment Model and the Risk Management worksheet are beginning building blocks for the project risk management plan. They provide a framework for identifying and documenting project risks along with management factors to minimize risks. Risks are documented so that contingency measures can be taken to mitigate their effects. These documents will then be used to track and control risks and actions taken to effectively deal with the risk over the life of the project.

An identified risk should not necessarily be viewed in a negative light. All projects have associated risk. Identification, mitigation and management of risk factors lead to successful projects. Denial of risk and lack of mitigation and management can result in serious negative consequences.

7.2 Completed DOIT RAM Report

A copy of the completed RAM is attached as appendix D.[4]

[4] Federal AFCARS and State and Federal legislative mandates and improved services are the justifying factors for this project. Please see section 3.1.

7.3 Risk Management Worksheet

The Risk Management Worksheet provides a display of risks identified to date, and the key attributes or characteristics for each. The risk categories and events shown in these worksheets represent those that can be identified here in the planning stages of the project. This worksheet will require assessment at project startup to include newly identified risks and/or updates to existing risks. The risk events will then need to be evaluated for the following:

- **Loss Hours:** Indicates the expected increase in hours that will occur if the risk event occurs. At this time, estimated hours are not accurate and therefore a scale of Low, Medium, and High is used to categorize the loss hour potential. These values are translated numerically into approximate average loss hours associated with high risk versus medium and low risk. These estimates are summarized in the following table:

Risk	Loss Range	Average Loss	Average Loss Hours
High	7%+	8.75%	8300
Medium	3% - 7%	5%	4743
Low	0%-3%	1.25%	1186

- **Probability:** This field represents the likelihood of the event occurring.
- **Risk Hours:** This field represents the estimated risk for this event. The field is calculated by multiplying the loss and the probability fields.
- **Previous Risk Hours:** This field represents the value of risk hours reported in the previous period. A difference between this value and the current risk hours indicates a change in the risk status and is used to alert management that a change has occurred.
- **Preventive and Contingency Measures:** The next two columns document the planned preventive and contingency measures that could minimize the effect of the risk event. Numbers in these columns are references to the list of Preventative and Contingency Measures following the table.
- **Comments:** This column documents items such as a change in the value of risk hours from the previous period, management actions needed to contain risk, and status of preventive and contingency plans.

Table 7-1 – Risk Management Worksheet

Risk Category /Event	Loss Hours	Prob-ability	Risk Hours	Previous Risk Hours	Preventive Measures	Contingency Measures	Comments
Personnel							
Non-availability of Required Staffing (High)	8,300	.1	830	0	Plan for and establish availability		
Key Management Resource/Task Conflicts (High)	8,300	.2	1,660	0	Set organization priorities		
Software							
Install/delivery date slip (Medium)	4,743	.3	1,423	0	Confirm equipment & personnel as early as possible		
Logistics							
Multiple Sites (Medium)	4,743	.1	474	0			
Physical separation of team and customers (Medium)	4,743	.1	474	0	Customers to be part of the project team		
Other							
Coordination of strategic partners (High)	8,300	.1	830	0	Regular project status meetings		

Risk Category /Event	Loss Hours	Prob-ability	Risk Hours	Previous Risk Hours	Preventive Measures	Contingency Measures	Comments
Other							
Caseworker Transition Impacts (High)	8,300	.1	830	0	Plan for, and execute, regular communications and training		
Total Risk Hours	47,429		6,521	0			

NOTE: Previous Risk Hours are zero as project is in Concept Phase.

Key actions are required to ensure the risk management plan performs its project function. Responsibility will be assigned to organizations and individuals for the desired mitigation activities. Measures will be determined to monitor the effectiveness of the risk mitigation activities.

7.3.1 Assessment

The entire project team, including CWS/CMS Project Team members, DD&I vendor and IV&V vendor will be responsible for identifying project risks as early as possible. Once identified and documented, the risks will be subject to a project review process, to determine whether the risks are properly identified and acceptable.

The project team will use various tools as aids to risk identification, and will analyze both internal (project controlled) and external potential risk areas. This will be an ongoing effort throughout all phases of the project.

Risk analysis will be a regular process, and it will encompass existing and new risks. This process determines the extent of the risk and documents the results of the analysis. Also, the project team will prioritize risks based on occurrence probability and estimated impact.

7.3.2 Risk Response

Once the risks have been analyzed, prioritized and documented, the project team will decide on the appropriate response for each risk. The type of action taken will be specific to each risk, and may involve avoidance, acceptance or other risk mitigation activities.

7.3.3 Risk Tracking and Control

A fundamental part of the support of project progress is a formal risk documentation, tracking and control procedure. The risk processes will be documented in the vendor developed PMP and consistent with current CWS/CMS project risk processes.

The documentation procedure will be used to keep accurate, formal, records of risk analysis, mitigation actions and risk status. The reporting function will be based on risk priority, and will indicate statistics of risks resolved, new risks since last report cycle, and risks unresolved. The relationship of these statistics can be used as an indicator of whether risk is being successfully managed and if risk is being adequately controlled.

Regular project team meetings will be held to manage and control the process. Risk mitigation responsibility will be assigned to specific project team members who will report on progress during the review meetings.

7.3.4 Risk Reserves

The project budget, and potentially also the project plan, will incorporate reserves for the effects of risk on the progress and scope of the project, and also the risk mitigation activities. The tools mentioned in Risk Identification above can assist in determining the extent of the reserves necessary.

8 ECONOMIC ANALYSIS WORKSHEETS

The EAW included in this section document the estimated design, development and implementation costs and the on-going operational costs associated with the proposed system and method of operation described in Section 5, Proposed Solution. The cost data is then compared with the cost of continuing to operate the existing system. Since no other alternative was identified which meets the business objectives, the cost of operation under additional alternative scenarios was not established.

The following sections provide the specifics regarding each evaluation.

8.1 Existing System Cost Worksheet

The Economic Analysis Worksheet (EAW) for the current method of operation of the CDSS Adoptions program is included in the Existing System Cost Worksheet. The data has been compiled from CDSS Budgets, Estimates and Data Analysis organizations. The Information Technology staff costs and data center costs for continuing operations are actual cost.

The EAW for the existing system operation assumes:

- No CWS/CMS operational costs are allocated to the CDSS Adoptions Branch. Adoptions case workers have access to the system, but presently utilize very little of the CWS/CMS system, and data center costs attributable to adoptions use are negligible.
- The Project Office estimates that the equivalent of ¼ PY is devoted to testing current adoption functionality in CWS/CMS.

EXISTING: Existing System Cost Worksheet

EXISTING SYSTEM COST WORKSHEET

Dec-00

Department: Social Services Adoptions

Project: Expanded Subsystem

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
INFORMATION TECHNOLOGY (IT) COSTS:												
Continuing:												
Staff	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.00		$0.0		$0.00		$0.0		$0.0		$0.0
Contract Services		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total IT Costs	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
PROGRAM COSTS:												
Staff	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total Program Costs	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0	0.00	$0.0
Total Existing System Costs	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1

8.2 Alternative System Cost Worksheet

This section contains the "alternative system cost worksheet" for the proposed alternative.

8.2.1 Proposed Alternative

The EAW for the proposed alternative, described in Section 5, Proposed Solution, is included as the Alternative System Cost Worksheet, Proposed Alternative. It depicts the cost for the design, development and implementation of the new information system, the cost of continuing to operate under the existing system during the development and transition period, and the cost of operating under the new system through FY 04/05.

The EAW for the proposed alternative assumes:

- Data center costs will increase by 5% per year.
- Adoption caseworkers will utilize the CWS/CMS 20% of an average CWS/CMS caseworker.
- The number of DSS program staff PY supporting the CWS/CMS system increases by three beginning in FY 2001/2002.
- The annual cost per PY was derived from the estimated hours per job title multiplied by the "loaded" hourly rate as supplied by the Program Office and CDSS.
- Increased revenues will be obtained from three sources (see Section 3.3 for details):
  - Increased federal adoption incentives obtained (estimated to be $4.2M in FY 2003/2004, $4.6M in 2004/2005).
  - Reduced cost of foster care due to an initial increase the number of adoptions (estimated to be $6.4M in FY 2003/2004, and $7.1M in FY 2004/2005)[5]
  - Cost of federal penalties avoided (estimated to be $1.5M annually)
- There will be a cost of $400,000 (included in Proposed Alternative worksheet in one-time IT Contract Services) for System Architecture definition.
- There will be a cost of $250,000 in FY 2002/2003 for an independent pricing validation of the EAS, submitted to the federal government with state planning documents (included in Proposed Alternative worksheet in one-time IT Contract Services).

[5] For FY 2003/2004, assuming a savings of $9,129/child * 707 additional adoptions (10% increase) due to EAW = $6,454,203. For FY 2004/2005, $9,129 * 773 additional adoptions = $7056,717.

ALTP: Proposed Alternative Cost Sheet

ALTERNATIVE SYSTEM COST WORKSHEET Dec-00

Department: Social Services Adoptions **Project: Expanded Subsystem**

PROPOSED ALTERNATIVE:

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
INFORMATION TECHNOLOGY (IT) COSTS:												
One-time:												
Staff	3.0	$230.0	13.0	$953.0	13.0	$953.0	8.5	$522.2	0.0	$0.0	37.5	$2,658.2
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.0		$545.2		$343.5		$0.0		$0.0		$888.7
Contract Services		$400.0		$4,457.6		$4,500.3		$249.5		$0.0		$9,607.4
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$106.0		$596.36		$596.36		$512.57		$0.0		$1,811.3
Total One-time IT Costs	**3.0**	**$736.0**	**13.0**	**$6,552.2**	**13.0**	**$6,393.1**	**8.5**	**$1,284.3**	**0.0**	**$0.0**	37.5	$14,965.6
Continuing:												
Staff	0.0	$0.0	0.0	$0.0	8.0	$657.9	5.0	$425.0	5.0	$425.0	18.0	$1,507.9
Hardware/Software		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Data Center Services		$0.0		$0.0		$229.0		$601.1		$631.1		$1,461.2
Contract Services		$0.0		$0.0		$441.0		$332.6		$332.6		$1,106.2
Agency Facilities		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Other		$0.0		$0.0		$239.16		$152.16		$152.16		$543.5
Total Continuing IT Costs	**0.0**	**$0.0**	**0.0**	**$0.0**	**8.0**	**$1,567.0**	**5.0**	**$1,510.8**	**5.0**	**$1,540.9**	18.0	$4,618.8
Total Project Costs	**3.0**	**$736.0**	**13.0**	**$6,552.2**	**21.0**	**$7,960.2**	**13.5**	**$2,795.1**	**5.0**	**$1,540.9**	55.5	$19,584.4

ALTERNATIVE SYSTEM COST WORKSHEET Dec-00

Department: Social Services Adoptions **Project: Expanded Subsystem**

PROPOSED ALTERNATIVE:

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
CONTINUING EXISTING COSTS:												
Information Technology Costs:												
Staff	0.25	$20.0	0.25	$22.0	0.25	$24.2	0.25	$26.6	0.25	$29.3	1.25	$122.1
Other		$0.0		$0.0		$0.0		$0.0		$0.0		$0.0
Total IT Costs	**0.25**	**$20.0**	**0.25**	**$22.0**	**0.25**	**$24.2**	**0.25**	**$26.6**	**0.25**	**$29.3**	1.25	$122.1
Program Costs:												
Staff	3.0	$168.0	3.0	$168.0	3.0	$168.0	3.0	$168.0	3.0	$168.0	15.0	$840.0
Other		$164.0		$64.0		$64.0		$64.0		$64.0		$420.0
Total Program Costs	**3.0**	**$332.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	**3.0**	**$232.0**	15.0	$1,260.0
Total Continuing Existing Costs	**3.25**	**$352.0**	**3.25**	**$254.0**	**3.25**	**$256.2**	**3.25**	**$258.6**	**3.25**	**$261.3**	16.25	$1,382.1
TOTAL ALTERNATIVE COSTS	**6.25**	**$1,088.0**	**16.25**	**$6,806.2**	**24.25**	**$8,216.4**	**16.75**	**$3,053.7**	**8.25**	**$1,802.2**	71.75	$20,966.5
INCREASED REVENUES[1]								$12,195		$13,192		$25,387

[1] Based on Federal Adoption Initiative

8.2.2 Other Alternatives

Since no alternatives meet the project objectives, no cost estimates are being submitted for the alternatives discussed in Section 5.

8.3 Economic Analysis Summary Worksheet

The Economic Analysis Summary Worksheet provides a comparative view of the costs associated with operating the existing system for the next 5 years versus operating each of the listed alternatives. Based on the business objectives, the Proposed Alternative was selected for recommendation.

SUM1: Summary Sheet for Single Proposed Alternative

ECONOMIC ANALYSIS SUMMARY

Department: Social Services Adoptions **Project: Expanded Subsystem**

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
ECONOMIC ANALYSIS SUMMARY												
EXISTING SYSTEM:												
Total IT Costs	0.25	$20	0.25	$22	0.25	$24	0.25	$27	0.25	$29	1.25	$122
Total Program Costs	0	$0	0.0	$0	0.0	$0	0.0	$0	0.0	$0	0.0	$0
Total Exist. System Costs	**0.25**	**$20**	**0.25**	**$ 22.00**	**0.25**	**$ 24.20**	**0.25**	**$ 26.62**	**0.25**	**$ 29.28**	**1.25**	$ 122.10
PROPOSED ALTERNATIVE:												
Total Exist. System Costs	0.25	$20	0.25	$22	0.25	$24	0.25	$27	0.25	$29	1.25	$122
(Total Project Costs)	3	$736	13.0	$6,552	21.0	$7,960	13.5	$2,795	5.0	$1,541	55.5	$19,584
(Total Cont. Exist. Costs)	3.25	$352	3.25	$254	3.25	$256	3.25	$259	3.25	$261	16.25	$1,382
Total Alternative Costs	6.25	$1,088	16.25	$6,806	24.25	$8,216	16.75	$3,054	8.25	$1,802	71.8	$20,966
Cost Savings/Avoidances	(6.0)	($1,068)	(16.0)	($6,784)	(24.00)	($8,192)	(16.5)	($3,027)	(8.0)	($1,773)	(70.5)	($20,844)
Increased Revenues				$0		$0		$12,195		$13,192		$25,387
Net (Cost) or Benefit	**(6.0)**	**($1,068)**	**(16.0)**	**($6,784)**	**(24.00)**	**($8,192)**	**(16.5)**	**$9,168**	**(8.0)**	**$11,419**	**(70.5)**	**$4,543**
Cum. Net (Cost) or Benefit	**(6.0)**	**($1,068)**	**(16.0)**	**($7,852)**	**(40.00)**	**($16,044)**	**(56.5)**	**($6,876)**	**(64.5)**	**$4,543**		

8.4 Project Funding Plan Worksheet

The Project Funding Plan shows the estimated resources needed for implementing and operating the proposed alternative. It shows how the Department intends to acquire these resources and what budget actions are anticipated. The Project Funding Plan has been developed utilizing the onetime and on-going costs associated with the Proposed Alternative.

FUND: Project Funding Plan

PROJECT FUNDING PLAN

Department: Social Services Adoptions **Project: Expanded Subsystem**

	FY 01/02		FY 02/03		FY 03/04		FY 04/05		FY 05/06		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
PROJECT FUNDING PLAN												
Budgeted:	0.0	$0.0	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	50.5	$18,043.5
Redirections:												
Existing IT	2.0	$173.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	2.0	$173.0
Existing Program	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Other	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Total Funds Available	2.0	$173.0	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	52.5	$18,216.5
Budget Actions Requiring DOF Approval:												
One-Time Costs	1.0	$563.0	10.0	$5,816.2	0.0	($159.0)	-12.5	($6,675.9)	-13.5	($2,795.1)	-15.0	-$3,250.8
Continuing Costs	0.0	$0.0	0.0	$0.0	8.0	$1,567.0	5.0	$1,510.8	5.0	$1,540.9	0.0	$4,618.7
IT Reductions	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Program Reductions	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0	0.0	$0.0
Total Budget Actions	1.0	$563.0	10.0	$5,816.2	8.0	$1,408.0	-7.5	-$5,165.1	-8.5	-$1,254.2	3.0	$1,367.9
Total Project Funds	3.0	$736.0	13.0	$6,552.2	21.0	$7,960.2	13.5	$2,795.1	5.0	$1,540.9	55.5	$19,584.4

APPENDIX A – Glossary

Abbreviation or Reference	Meaning
AAP	Adoption Assistance Program
AFCARS	Federal – Adoption and Foster Care Analysis and Reporting System
CDSS	California Department of Social Services
CWS/CMS	Child Welfare Services Case Management System
DASD	Direct Access Storage Device
DB2	IBM proprietary relational database management system
DD&I	Design, Development and Implementation
DOF	Department of Finance
DOIT	Department of Information Technology
FSR	Feasibility Study Report
FY	Fiscal Year
HHSDC	Health and Welfare Data Center
HUB	Network based hardware component that manages and directs network message traffic
IV&V	Independent Verification and Validation
LAN	Local Area Network
LIS	Licensing Information System
MEDS	Medi-Cal Eligibility Determination System
M&O	Maintenance and Operations
PMP	Project Management Plan
RAM	Risk Assessment Model
TCP/IP	Transaction Control Protocol/Internet Protocol
WAN	Wide Area Network

APPENDIX B – System Requirements

The following is the documentation of the high-level adoption subsystem requirements, created by the Adoptions Branch.

EXHIBIT IV-3

ADOPTIONS CASE MANAGEMENT
Sample Project

The California Department of Social Services (CDSS) provides policy direction, regulatory development and fiscal management for Adoption services in California. Twenty-eight licensed county adoption agencies provide agency adoption services in 30 counties. The CDSS provides agency adoptions services in the remaining 28, mostly rural, counties. In addition, CDSS provides oversight to about 60 licensed private adoption agencies and investigates proposed independent adoptions in all but three counties.

Federal AFCARS regulations require the State to electronically transmit, semiannually, data on all foster children whose adoptions are completed after having been placed for adoption by a public agency (either CDSS or a county adoption agency) as well as on other special needs children placed by licensed private adoption agencies but eligible to receive an adoption subsidy from the state. Currently, CWS/CMS adoption functionality is limited to the collection of those data elements necessary to complete the AFCARS and other statistical reports. Although all state and county adoption staff have access to CWS/CMS, the system lacks the functionality needed to support comprehensive adoption case management activities. To compensate for this deficit, many adoption agencies use locally developed database and spreadsheet systems to track the provision of adoption services. Because it is not an adoptions case management tool, CWS/CMS does not meet all SACWIS specifications for Adoptions services.

The CWS/CMS does not collect and manage information necessary to facilitate and document (1) the provision of services to birth parents, (2) the assessment of and provision of services to children, including the identification of suitable adoptive parents, and (3) the assessment of and provision of services to potential adoptive parents. The CWS/CMS also does not produce the large number of documents necessary to move children and families through the adoption process.

The Bidder is required to submit a proposal including strategy for adding functionality to CWS/CMS to incorporate case management activities of the Adoptions Program. The additional functionality is considered a Major Enhancement to the current application and will be considered Additional Exclusive Services to the Bidder.

CDSS has initiated a Feasibility Study for adding case management functionality to the CWS/CMS Adoptions Sub-system. Preliminary information regarding system requirements are listed below to assist Bidders in preparing their proposals.

The Bidder’s proposal will be used for evaluation purposes only at this time and is not a guarantee of future purchase of services from the Bidder.

Global Requirements of an Adoptions Case Management Sub-system

The system must:

- Support a caseload structure for Adoptive Applicants that parallels the existing caseload structure for child cases. Included would be:
  - Differing levels of assignment (primary, secondary, read only),
  - Supervisory oversight,
  - The ability to transfer adoptive applicant cases, either individually or collectively, from one social worker to another,
  - The ability to differentiate between and provide caseload lists of both approved applicants and those still under study, and
  - Read/write accessibility to adoptive applicant screens from Client Services for CWS staff with adoption privilege.

- Provide the ability to allow a staff person with adoption privilege to limit access to the following information to CWS and CDSS staff who have adoption privilege:
  - Recorded contact information regarding adoptive applicants (including Substitute Care Provider information),
  - Recorded contact information regarding the adoptive child (both prior and subsequent to finalization of the adoption),
  - Recorded contact information regarding birth parents concerning relinquishment;
  - Case notes; and
  - Attached external documents such as Adoptive Home Studies.

- Include entities and attributes to accommodate the above information.

- Have the ability to generate, populate and postdate 50 local adoption documents and reports. These document and report templates must have the capacity for immediate CDSS modification in response to statutory or regulatory changes. These templates would include:
  - Adoptive placement documents;
  - Court finalization documents;
  - AAP documents; and
  - Other local forms necessary for effective case management, as determined by CDSS Adoption Branch.

- Create a (.dbf and/or .xls) file on a quarterly basis, which will be made available to appropriate CDSS and County staff, which will contain necessary data elements for generation of Adoption Program Management Reports currently developed from the AD 42R and AD 56A as well as ad hoc reports at the county and state level.

- Allow a staff person with appropriate level of authority and privilege to search for an adoptive family based on a child's needs.

- Allow persons with appropriate level of authority and privilege to conduct a client search utilizing the Adoptive Name.

- Provide a mechanism for allowing staff with adoptions privilege to create a case and record information regarding an unborn child, including information regarding relinquishment counseling provided to the parents.

- Generate a total of 15 caseload management and program management reports.

- Allow documentation of all child assessments. This documentation will include at a minimum, the date, purpose, and recommendations, which result from each assessment.

- Enhance its current "Placement Facility Match" functionality so as to provide an effective tool for the selection of a list of appropriate families for potential adoptive placement of a specific child.

- Be able to designate a foster family as a permanency planning family under predetermined criteria.

- Allow for the documentation of the nature, type and duration of post-adoption services.

- Allow documentation of medical and educational information on adult clients related to the child.

- Maintain an application history for adoptive applicants.

- Record the presence of waivers of confidentiality, presence of photographs, etc. in the stored paper record.

- Be able to identify the child's adoption agency, including the out of state agency for incoming ICPC cases, and include the capacity to exclude ICPC cases from statistical reporting when necessary.

- Allow for the documentation of the presence of a Kinship Adoption Agreement approved by the court.

- Provide a navigational tool to assist the user in advancing through the Adoptions system process.

The document above was used as the basis for determining more detailed requirements, based on the original requirements analysis results. Each bulleted item in the document above was given a specific reference by Adoptions personnel: a sequential number, plus an alphabetic sub-reference if the high level requirement is part of a group.

SELECTED DETAIL REQUIREMENTS

The following documentation is the complete list of selected final requirements for inclusion in the FSR. The cross reference between the original detail requirement and the high level requirement is indicated in the "Requirement Identification" column, and is italicized.

NEW REQUIREMENTS

Requirement Identification	Requirement Description
Exhibit IV-3 1d	The system must have the ability to search for Adoptive Applicant information by "Applicant Name".
Exhibit IV-3 1e	The system must enable read/write accessibility to adoptive applicant screens from Client Services for CWS staff with adoption privilege.
Exhibit IV-3 4	The system must allow 50 local adoption documents and reports.
Exhibit IV-3 15	The system must be able to add, maintain and display related dates for all adoptive applicant Applications, Applications Updates, Application Approvals and Application Denials.
Exhibit IV-3 16	The system will provide the ability to indicate, via a standard code table and display matrix, which forms and documentation (e.g. photos) are present in the physical case folder.
Exhibit IV-3 17	The system must provide for the addition, maintenance and display of an "Adoption Agency Id" data field on the Adoption Information Page.

ORIGINAL REQUIREMENTS

Navigational Items

Requirement Identification	Requirement Description
G.NAV.01 *1a, 1d*	The system must enable the creation of online child and adoptive applicant caseload lists, including both primary and secondary assignments, with the ability to differentiate between and provide caseload lists of both approved applicants and those still under study, based on user access privileges and selection criteria.
G.NAV.02 *1c*	The system must allow case transfers based on user selection from previously created caseload lists.
G.NAV.03 *1*	The system must allow the user to select, open and modify cases based on user selection from previously created caseload lists.
G.NAV.04	The system must have the ability to simultaneously transfer complete or

Requirement Identification	Requirement Description
1b, 1c	partial worker caseloads to another worker, or the "in box" process. This includes primary and secondary case assignments for foster, adoptive homes, and post adoption.
G.NAV.05 *1b*	The system must enable an adoption supervisor to open and modify cases in an adoption worker's caseload list, including both primary and secondary assignments.
G.NAV.06 *1b*	Only workers with both supervisor (or approval) and adoption privileges must have the ability to approve home studies and close both applicant and children's cases.
G.NAV.07 *1b, 1c*	Only workers with supervisor (or transfer assignment authority) and adoption privileges must have the ability to transfer cases and make temporary assignments.
G.NAV.08 *19*	The system must provide a separate access path to Adoptions functionality.
G.NAV.09 *19*	The system must provide a navigational tool to assist the user in advancing through the Adoptions subsystem process.

Applicant Functions

Requirement Identification	Requirement Description
G.APP.01 *2*	The system must have the ability to restrict access, based on users' privileges, to adoption specific documents that are attached to a case.
G.APP.02 *2a*	The system must enable the population of adoptive child, birth parent and applicant case information from other CWS/CMS processes to the Adoption process, on a per case basis.
G.APP.03 *2a*	The system must enable the recording of applicant contacts on a Contacts page as part of the Applicant case notebook. Access to be restricted to staff persons with adoption privilege.
G.APP.04 *2b*	The system must be able to display, on a Contacts page, all of the contacts made on behalf of an adoptive child, including adoptive parents and siblings. Access to be restricted to staff persons with adoption privilege.
G.APP.07 *2*	The system must provide the ability to record applicant contact and case narrative notes information in the same applicant case notebook. Access to be restricted to staff persons with adoption privilege.

Child/Adoptee

Requirement Identification	Requirement Description
G.C/A.01 *2b*	The system must enable the recording and management of AAP case and post finalization services information in a separate section of the child and/or applicant notebook.
G.C/A.02 *2b*	The system must provide the ability to record child contact and case narrative notes information in the same child case notebook.

Birth Parent Services

Requirement Identification	Requirement Description
G.BPS.01 *2c*	The system must have the ability to record birth parent relinquishment contacts on a contacts' page in the Birth Parent notebook, as discrete data elements.
G.BPS.02 *2c*	The system must have the ability to record birth parent services in the Birth Parent notebook narrative.
G.BPS.03 *16*	The system must provide the ability to record that waivers of confidentiality have been completed by the adoptee.
G.BPS.04 *16*	The system must provide the ability to record that waivers of confidentiality have been completed by the birth parents.
G.BPS.05 *16*	The system must provide the ability to record that the child's siblings have completed waivers of confidentiality.

Post Adoption Services

Requirement Identification	Requirement Description
G.PAS.01 *13*	The system must provide the ability to record post adoption sibling contacts, in the Child notebook narrative.

Search Capabilities

Requirement Identification	Requirement Description
G.SRC.03 *1d*	The system must be able to identify and list potential adoptive families that currently have a home study in progress.
G.SRC.04 *7*	The system must have the ability to search all open and closed cases by a child's adoptive name.
G.SRC.06 *6*	The system must be able to perform "available family" searches based on a user-specified county or group of counties, and will include private agency registered families.

Court Reports

Requirement Identification	Requirement Description
G.CTR.01 *2e*	The system must have the ability to attach the final adoption court report, a county specific document, to a case with appropriate privilege restrictions.

Start an Adoption Record

Requirement Identification	Business Function	Requirement Description
1.02.01 *8*	Self Referral for Voluntary Relinquishment	The system must provide the ability to create a new case for the voluntary relinquishment of a child, including an unborn child, and track associated birth parent information.
1.02.02 *8*	Self Referral for Voluntary Relinquishment	The system must provide the ability to uniquely identify an unborn child.
1.1.02 *10*	Joint Adoption Assessment of Child and Adoptive Parent	The system must have the ability to manage joint assessment information for both child and adoptive parent(s).
1.2.01 *10*	Adoption Recommendation	The system must have the ability to record, track and report all referrals, assessments, reassessments and recommendations for a child.

Requirement Identification	Business Function	Requirement Description
1.6.01 *10*	Not Currently Suitable for Adoption Recommendation	The system must have the ability to record the recommendation and Close Adoption Referral information.
1.12.01 *10*	Close Adoption Referral	The system will enable the recording of the close date and reason for closure.
1.14.01 *10*	Preliminary Assessment	The system must provide the ability to record, as discrete information, facts regarding preliminary assessment and outcome for the child.

Assessment

Requirement Identification	Business Function	Requirement Description
2.01.02 *2c*	Mother	The system must provide the ability to record birth mother information, including birth mother contacts made, in the Birth Parent Notebook Narrative.
2.04.01 *10*	Child Recommendation	As part of the child assessment process, the system must be able to populate, from the child's existing case, the dates of prior evaluation and associated disposition information.
2.3.02 *14*	Psychological History	The system must enable the input and update of parents' psychological history.
2.6.03 *14*	Medical History	The system must have the ability to record the birth parents' medical history information in the Birth Parent Notebook.
2.15.01 *14*	Family History	The system must have the ability to record the child's family history in the Adoptive Child Case Notebook Narrative.
2.24.01 *10*	Assessment Outcomes	The system must enable the maintenance of Assessment Outcomes related information.

Identify Adoptive Applicants

Requirement Identification	Business Function	Requirement Description
4.01.01 *11*	Non-Related Caretaker Family without	The system must have the ability to record Substitute Care Provider demographic information, child preference information, county of residence and available family information as discrete data elements.

Requirement Identification	Business Function	Requirement Description
	Child Relative	

Pre-Placement Activities

Requirement Identification	Business Function	Requirement Description
5.9.02 *11*	Matching	The system must be able to provide a search/match process that must match adoptive child with prospective families, including private agency families, to include county or geographic search criteria.
5.9.04 *11*	Matching	The system must produce both an online and a hardcopy of the list of potential matches.
5.18.01 *12*	Family Assists with Reunification	The system must be able to designate the substitute care provider as the “permanency planning family”.

Finalize

Requirement Identification	Business Function	Requirement Description
7.10.01 *18*	Birth and Adoptive Parents Negotiate Kinship Post Adoption Agreement	The system must be able to indicate that there is a signed kinship adoption agreement.

Post Finalization

Requirement Identification	Business Function	Requirement Description

Requirement Identification	Business Function	Requirement Description
8.2.01 *13*	Post Adoption Service Request	The system must provide the ability to record discrete data elements for type of post adoption service requested, date the service was requested, worker providing service and problem resolution.

Interstate Services

Requirement Identification	Business Function	Requirement Description
10.3.01 *17*	Receive Request and Documentation (originates from another State)	The system must have the ability to open an incoming ICPC case with an Adoptions record, and to close it when necessary.

Automated Forms

The original detail requirements list has been replaced by the Exhibit IV-3 new requirement number 4, which is found on page B-5.

Program Management Reports

Requirement Identification	Name of Report	Report Outline
PRPT.01	Child Caseload Report Totals	This report provides numeric totals by selected categories.
PRPT.02	Child Caseload Report	This report summarizes numeric totals by primary workers.
PRPT.03	Adoptive Applicant Caseload Report	This report is a caseload list by applicant names, and important application milestones, by Office /Agency, Primary assigned worker, Secondary assigned worker.
PRPT.04	Adoptive Applicant Totals Report	This report lists totals by application status, by Office, Agency, and by Primary and Secondary Worker.

Requirement Identification	Name of Report	Report Outline
PRPT.05	Case Mgmt Report: Children Available For Permanency Placement	This report is a summary list of children for whom an adoptive placement is needed, by Agency /Office, and name of adoption worker assigned.
PRPT.06	Case Mgmt Report: Families Available	This report generates a list of families and family profiles and preferences by Agency/Office.
PRPT.07	Adoptive Applicant Caseload Totals	This report will list caseload totals for case workers by Office/Agency.
PRPT.08	Children In Study	This report identifies the children on an individual worker's caseload and important case milestones by Agency/Office.
PRPT.09	Adoptive Placements Being Supervised (Cooperative and Non-Cooperative Cases)	This report must be grouped by Agency /Office, and by case worker(s) involved in the case. It must list families and children in an adoptive placement but not finalized.
PRPT.11	Relinquishing Birth Parent Reports	This report will list birth parents that are self-referrals for relinquishment.
PRPT.12	AD42R Report	Report by Agency/Office, by worker caseload, by individual child/family. Capacity to print individual forms for review and quality assurance, and a statewide CDSS report.
PRPT.13	AD42AAP Report	Report by Agency /Office, by worker caseload, by individual child/family. Capacity to print individual forms for review and quality assurance and a statewide CDSS report.
PRPT.14	Child Caseload list by birth parent	This report will produce a caseload list by Agency /Office and Case Worker.
PRPT.15	Concurrent Planning Reports	This report will list concurrent planning information by Agency, CWS Worker, Adoption Case Worker, and Child.
PRPT.16	Birth Parent Contacts	Report by case of the case note narrative that summarizes birth parent contacts (presumed and alleged parents).
PRPT.17	Non-identifying Information summary on child and birth parents	This report will generate a summary of foster placements, adoptive placements, criminal history and other non-identifying information on adoptive children and their birth parents.
PRPT.18	Applicant Clearance Tracking	Report by Agency /Office, adoption worker, and applicant name, to list the status of the required clearance items.

Requirement Identification	Name of Report	Report Outline
PRPT.19	Recruitment Report	Report by Agency /Office, Geographical Region/County, and case worker of potential adoptive applicants.
PRPT.20	Grievance Report	Report by Agency /Office, adoption case worker assigned, type of grievance and disposition. (home study rejection or AAP Benefit Amount).
PRPT.21	Child Matching Profile	Report on a selected child which lists the child available narrative, a summary of discrete data elements checked regarding known problems, special needs, disabilities, and type of family.
PRPT.22	Family Matching Profile	Report on a selected family, which lists the home available narrative, a summary of discrete data elements checked regarding known preferences, capacity to deal with type of child(ren).
PRPT.23	Adoption Placement Disruptions	Report by Office /Agency, name of child, name of placement family, reason for the child's removal.
PRPT.24	Relative Adoption Report	Report by Agency /Office, name of child, name of adoptive family and kinship agreement detail.
PRPT.25	AAP Report	Report by Agency /Office, adoption worker, family name, renewal/expiration date and child's adoptive name.
PRPT.26	Post Adoption Inquiry Report	Report by Agency / Office, case worker name, adoptive family name, adoptive child name, type of inquiry and disposition.
PRPT.27	Cooperative and Service Request Report	Report by Agency /Office, case worker, and client name of type(s) of service requested, date(s) opened, date(s) closed.
PRPT.28	Adoption Finalizations	Report by Agency /Office, case worker, adoptive family name, adoptive child name. Option for Statewide report for CDSS.
PRPT.29	ICPC Reports Adoption Specific	Report by Agency /Office, case worker, adoptive child, and adoptive family of cases originating in or out of state. Option for Statewide or Agency wide report for CDSS.
PRPT.30	Children Not Available For Adoption	Report by Agency /Office, case worker, child's name of children who are determined to not be appropriate for adoption and the designated reason.
PRPT.31	ICWA Report	Report by Agency /Office, case worker, child's birth name of referral date, name of tribe and location.
PRPT.32	Children Available For Adoptive Placement	Report by office/agency and statewide, and adoption case worker of children available for adoptive placement.

Requirement Identification	Name of Report	Report Outline
PRPT.33	Families Seeking Adoptive Placement	This report generates a summary of adoptive applicants by Office /Agency, and case worker.
PRPT.34	Adoption Applications Not Returned	This report generates a summary of potential adoptive applicants who have not yet returned an application, by Office/Agency, and case worker.

Appendix C - Staffing

STAFFING

		Fiscal Years					
Position Title	Total	00/01	01/02	02/03	03/04	04/05	
PROJECT MANAGEMENT							
Project Manager – *current resource*							
Assistant Project Manager	1	0	1	1	1	0	
Executive Assistant	1	0	0	1	1	0	
System Architect- *contractor*	1	0	1	1	0	0	
ADMINISTRATION							
Chief Administrative Officer– *current resource*							
ADMINISTRATIVE SUPPORT							
Project Planner Scheduler	1	0	0	1	1	0	
Business Services Officer- – *current resource*							
Human Resources Support Officer - – *current resource*							
Project Librarian– *current resource*							
Configuration Manager	1	0	0	1	1	0	
Deliverable Monitor– *current resource*							
Office Technician– *current resource*							
FINANCIAL/CONTRACT MANAGEMENT							
Chief Financial Officer– *current resource*							
Consultant Contract Manager– *current resource*							
Financial Analyst	1	0	0	1	1	0	
PROJECT INFORMATION TECHNOLOGY SUPPORT							
IT Support	1	0	0	1	1	0	
Help Desk– *current resource*							
Network Administrator– *current resource*							
Webmaster– *current resource*							
Project Toolset Developer/Maintainer– *current resource*							
PROCUREMENT							
RFP Manager	1	0	1	1	0	0	
Prime Contract Manager – *current resource*							
SYSTEM ENGINEERING							
Systems Engineer- contractor	1	0	0	1	1	.25	
REQUIREMENTS ENGINEERING							
Requirements Manager– *current resource*							
Interface Manager– *current resource*							
Subject Matter Experts/User Representatives	2	0	1	2	.5	0	
TECHNICAL OVERSIGHT							
Systems Engineers – *current resource*							
Subject Matter Experts/User Reps – *current resource*							
TEST AND EVALUATION							
Test Manager– *current resource*							
Test Engineers	1	0	0	1	1	0	

Fiscal Years

Position Title	Total	00/01	01/02	02/03	03/04	04/05	
IMPLEMENTATION							
Implementation Manager- contractor	1	0	0	0	.5	0	
Business Process Coordinator–current resource							
Conversion Manager– *current resource*							
Infrastructure Coordinator– *current resource*							
Staff Trainer	1	0	0	1	1	0	
Operations Manager– *current resource*							
QUALITY ASSURANCE							
Quality Assurance Auditor- – *current resource*							
Process Improvement Manager– *current resource*							
Metrics Manager– *current resource*							
EXTERNAL SUPPORT							
Program/Customer Organization Rep	3	0	3	3	3	3	
State Legal Counsel– *current resource*							
Private Legal Counsel– *current resource*							
DGS Representative– *current resource*							
INDEPENDENT VERIFICATION AND VALIDATION							
Contractor	2	0	0	2	2	1	
EXECUTIVE CUSTOMER LIAISON– *current resource*							
OTHER STAKEHOLDERS– *current resource*							
Total	19	0	3	18	15	5	

Staffing Hours and Costs

The following three spreadsheets contain the total estimated hours for both State and Contractor project support personnel by quarter, the combined total personnel costs by fiscal year based on hourly rates supplied by CWS/CMS and CDSS, and the State only total personnel costs by fiscal year. These costs are included in the EAWs in Section 8.

Job Title	Job Class	Number Required	Qtr/Year Required																
IT STAFF			**4th 00**	**1st 01**	**2nd 01**	**3rd 01**	**4th 01**	**1st 02**	**2nd 02**	**3rd 02**	**4th 02**	**1st 03**	**2nd 03**	**3rd 03**	**4th 03**	**1st 04**	**2nd 04**	**3rd 04**	**4th 04**	**1st 05**
Assistant Project Manager	State	1				444	444	444	444	444	444	444	444	444	444	444	444	444	444	444
Executive Assistant	State	1								444	444	444	444	444	444	444	444	444	444	444
System Architect	Contractor	1				504	504	504	504	504	504	252	252							
Project Planner	State	1								444	444	444	444	444	444	444	444	444	444	444
Contract Analyst	State	1								444	444	444	444	444	444	444	444	444	444	444
Configuration Manager	State	1								444	444	444	444	444	444	444	444	444	444	444
Project IT Support	State	1								444	444	444	444	444	444	444	444	444	444	444
RFP Requirements Mgr	State	1				444	444	444	444	444	444	444	444	444	444	444	444	444	444	444
Systems Engineer	Contractor	1								504	504	504	504	504	504	504	252			
Subject Matter Experts	State	2				444	444	444	444	888	888	888	888	888	888	888	444	444		
Test Engineers	State	1								444	444	444	444	444	444	444	444	444	444	444
Implementation Mgr	Contractor	1										200	504	504						
Staff Trainer	State	1								444	444	444	444	444	444	444	444	444	444	444
System Support Consultant	State	2								888	888	888	888	888	888	888	888	888	888	888
IV&V STAFF																				
IV&V Consultants	Contractor	2								200	1008	1008	1008	1008	1008	1008	1008	504	504	504
PROGRAM STAFF																				
Social Service Consultant	State	2				888	888	888	888	888	888	888	888	888	888	888	888	888	888	888
AGPA	State	1				444	444	444	444	444	444	444	444	444	444	444	444	444	444	444
>> State at																				
148 hrs/mth and 444hrs/qtr																				
>> Contractor at																				
168 hrs/mth and 504 hrs/qtr																				
Total Hours																				

Job Title	Job Class	Number Required	Loaded Rate	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost		
IT STAFF				**01_02**			**02_03**			**03_04**			**04_05**				
Assistant Project Manager	State	1	51.06		1,778	84,556		1,778	97,876		1,778	97,876		1,332	73,407		
Executive Assistant	State	1	20.88					1,778	40,022		1,778	40,022		1,332	30,016		
System Architect	Contractor	1	200		2,016	400,000		1,512	302,400			-			-		
Project Planner	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Contract Analyst	State	1	34.8					1,778	66,693		1,778	66,693		1,332	50,019		
Configuration Manager	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Project IT Support	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
RFP Requirements Mgr	State	1	44.06		1,778	76,783		1,778	84,447		1,778	84,447		1,332	63,336		
Systems Engineer	Contractor	1	200					2,016	403,200		1,764	352,800			-		
Subject Matter Experts	State	2	36.54		1,778	70,030		3,552	140,061		3,108	140,061		444	17,508		
Test Engineers	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Implementation Mgr	Contractor	1	200					704	140,800		504	100,800			-		
Staff Trainer	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
System Support Consultant	State	2	36.54					3,552	139,968		3,552	139,968		2,664	104,976		
IV&V STAFF																	
IV&V Consultants	Contractor	2	165					3,224	531,960		4,032	665,280		1,512	249,480		
		TOTALS	**>>>>>>**		7,350	631,369		30,562	2,331,340		28,962	2,071,860		16,608	876,677		
PROGRAM STAFF																	
Social Service Consultant	State	2	21.1		3,552	74,947		3,552	74,947		3,552	74,947		3,552	74,947		
AGPA	State	1	22.8		1,776	40,493		1,776	40,493		1,776	40,493		1,776	40,493		
		TOTALS	**>>>>>>**		5,328	115,440		5,328	115,440		5,328	115,440		5,328	115,440		
	OVERALL TOTALS		**>>>>>>**		12,678	746,809		35,890	2,446,780		34,290	2,187,300		21,936	992,117		

Job Title	Job Class	Number Required	Loaded Rate	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost	Fiscal Year	Total Hours	Cost		
IS STAFF				**01_02**			**02_03**			**03_04**			**04_05**				
Assistant Project Manager	State	1	51.06		1,778	84,556		1,778	97,876		1,778	97,876		1,332	73,407		
Executive Assistant	State	1	20.88					1,778	40,022		1,778	40,022		1,332	30,016		
Project Planner	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Contract Analyst	State	1	34.8					1,778	66,693		1,778	66,693		1,332	50,019		
Configuration Manager	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Project IT Support	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
RFP Requirements Mgr	State	1	44.06		1,778	76,783		1,778	84,447		1,778	84,447		1,332	63,336		
Subject Matter Experts	State	2	36.54		1,778	70,030		3,552	140,061		3,108	140,061		444	17,508		
Test Engineers	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
Staff Trainer	State	1	40.06					1,778	76,783		1,778	76,783		1,332	57,587		
System Support Consultant	State	2	36.54					3,552	139,968		3,552	139,968		2,664	104,976		
		TOTALS	**>>>>>>**		5,334	231,369		23,106	952,980		22,662	952,980		12,432	522,222		
PROGRAM STAFF																	
Social Service Consultant	State	2	21.1		3,552	74,947		3,552	74,947		3,552	74,947		3,552	74,947		
AGPA	State	1	22.8		1,776	40,493		1,776	40,493		1,776	40,493		1,776	40,493		
		TOTALS	**>>>>>>**		5,328	115,440		5,328	115,440		5,328	115,440		5,328	115,440		
	OVERALL TOTALS		**>>>>>>**		10,662	346,809		28,434	1,068,420		27,990	1,068,420		17,760	637,662		

APPENDIX D - RAM